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The Relationship Between Career Paths, Institutional Types, Demographics and the Operational Frameworks of College and University Presidents

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THE RELATIONSHIP BETWEEN CAREER PATHS, INSTITUTIONAL TYPES,
DEMOGRAPHICS AND THE OPERATIONAL FRAMEWORKS
OF COLLEGE AND UNIVERSITY PRESIDENTS

by

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Master of Education, University of Saskatchewan, 1999

A Dissertation

Submitted to the Graduate Faculty

of the

University of North Dakota

in partial fulfillment of the requirements

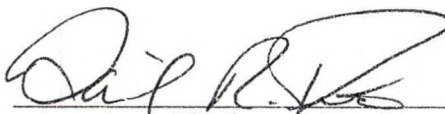
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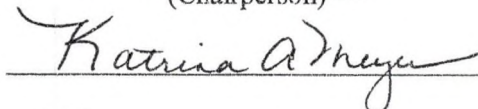
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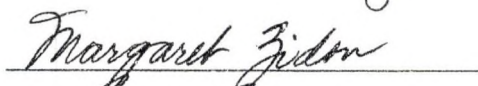
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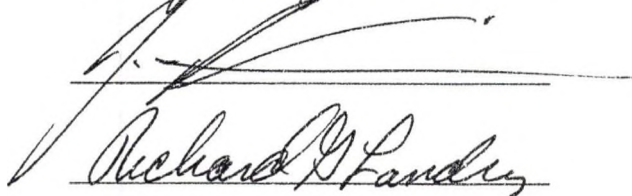
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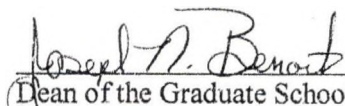

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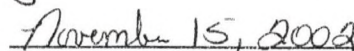






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University Presidents

Department Educational Leadership

Degree Doctor of Philosophy

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ABSTRACT

Leadership is an elusive quality sought by many individuals and organizations. As organizations become more complex, the search for effective leadership intensifies. Presidents of universities and colleges were, historically, identified as the key leaders on campuses, in their own states, and nationally, able to raise institutions to greatness or drag them into mediocrity through the sheer force of their personality and efforts. More recent research suggests that college and university presidents have far less to do with the success of an institution than previously thought. Some presidents are somewhat successful by adapting their leadership frames through understanding the environment and culture of the institution they currently lead.

Researchers have suggested that leaders “frame” their understanding of the organizations they lead in four ways: structural, human resource, political, and symbolic. This study sought to determine if there were relationships to be found among presidents’ backgrounds and career experience that would indicate a pattern of leadership frame(s) correlating to common backgrounds and careers. These data could then identify which backgrounds and career paths led to the type(s) of institutions a president would most likely lead. Demographic and career background data were collected and compared against data collected from the participants that identified their most common operational frame. The survey collected demographic data from the participants to strengthen validity. The survey instrument identified the participants’ dominant personal frame(s)

(a majority of leaders operate from at least two, and usually three frames), that they used to gather information, make decisions, and get things done. It also determined if there were relationships among presidents' backgrounds and career experience that would have indicated a pattern of leadership frames correlated with common backgrounds and careers.

The demographic data in this study closely mirrored national data from other recent studies. The largest number of presidents operated primarily from a symbolic frame. Almost 40% of all presidents operated from at least three of four frames when compared to others in the study. The only variables with statistical significance were the following. Previous career experience of being a Student Services Vice-President was negatively related to selection as president of Doctoral/Research and Master's institutions. Previous career experience as a department Chair was positively related to selection as president of Doctoral/Research and Master's institutions and negatively related to selection as president of Associate and Other institutions. Previous career experiences as President or Provost were positive predictors for those current Presidents with a dominant structural frame.

CHAPTER I

INTRODUCTION

Leadership is an elusive quality sought by many individuals and organizations (Burns, 1978; Bennis, 1995). As organizations become more complex, the search for effective leadership intensifies. Higher education, in particular universities and colleges, has long been identified as having very complex organizations due to the changing nature of the constituents, the historical tradition of governance shared by the president, the faculty, and the Board of Trustees, and the many roles institutions play in their communities and states (Bolman & Deal, 1997; Birnbaum, 1992; Birnbaum, 1988).

Presidents of universities and colleges were, historically, identified as the key leaders on campuses, able to raise institutions to greatness or drag them into mediocrity through the sheer force of their personality and efforts (Bolman, 1965; Dodds, 1962; McDade, 1988). Other research suggests that college and university presidents have far less to do with the success of an institution than previously thought (Birnbaum, 1992). In fact, research conducted between 1987 and 1992 by Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) indicated that presidential leadership was highly contextual and situational. Many presidents, despite years of working in higher education as leaders, were unsuccessful in leading institutions, as evaluated by their constituents, because of their inability to see issues from multiple frames or perspectives. Some presidents were

somewhat successful by adapting their leadership frames through understanding the culture of the institution they led (Birnbaum, 1992).

Theoretical Framework

Bolman and Deal (1984) have suggested that leaders “frame” their understanding of the organizations they lead in four ways: structural, human resource, political, and symbolic. Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) have identified numerous factors related to presidential “framing” or understanding of an organization. Four major conclusions were drawn from the study they conducted:

most presidents have a short-term, marginal, positive effect on their colleges; in the short term, instrumental activities satisfy the basic leadership needs of most colleges; over the long term, colleges also need the inspiration and motivation of interpretive leadership; and, failed presidents who think in a linear fashion and act in an authoritarian manner are likely to have small, negative, marginal effects over the short term. (p. 169)

This leaves presidents, and researchers, with many other questions beyond Birnbaum’s conclusion to do the best work when you arrive and know when to leave to achieve a modicum of presidential success in higher education (Birnbaum, 1992, pp. 193-195). Such questions as: Does the experience with which presidents assume their positions affect their understanding of issues and their performance? Do men and women behave differently as presidents (Birnbaum, 1992, p. 38)?

This study sought to answer those questions and others by determining if there were relationships to be found among presidents’ backgrounds and career paths that indicated a

pattern of leadership frame(s) correlating to common backgrounds and careers. The data identified which backgrounds and career paths indicated at which type(s) of institutions a president was most likely to be employed. Demographic and career background data were collected and compared against data collected from the participants that was used to identify their most common operational frame using an instrument originally developed by Bolman and Deal (1984), adapted by Bensimon, Birnbaum, and Neumann into an interview protocol (in Birnbaum, 1992, pp. 199-202), and further adapted by this researcher into a Likert-scale survey instrument. The survey identified demographic data from the participants to strengthen validity. It was also determined if there were relationships among presidents' backgrounds and career paths that indicated a pattern of leadership frame(s) correlating to common backgrounds and careers. The second part of the survey instrument identified the participants' dominant personal frame(s) (a majority of leaders operate from at least two, and usually three frames), that they used to gather information, make decisions, and get things done (Bolman & Deal, 1984).

Statement of the Problem

The study of leadership in higher education, particularly the presidency, is uncertain because of the conflict between academic and administrative authority, often unclear goals due to "constant strategic planning" by every newly appointed president, and the unique aspects of organizational behavior that is higher education (Bensimon, Birnbaum, & Neumann, 1989). Although there is much literature about leadership and organizational theory, it does not seem to be influential in helping researchers and higher education professionals understand what makes one president successful and another a failure (Fisher,

Tack, & Wheeler, 1988). Much of the literature tends to be focused on styles of leadership and personal attributes (Neumann & Bensimon, 1990; Bensimon et al., 1989).

Birnbaum (1992) suggested that the relationship between a president and the university or college they lead is akin to that of a marriage. He went on to say that, in using this metaphor, it was unwise for either partner to enter the relationship expecting to change the negative traits of the other (pp. 89-90). However, by fully understanding the university or college one leads, and by balancing the various aspects of such a relationship and making decisions according to the environment and culture of the organization and its constituents, a president could ensure a greater likelihood of success (Birnbaum, 1988). This approach could be compared to contingency styles of leadership, which have had many forms and proponents, most notably Fiedler (1967) and Vroom and Yetton (1973); and situational leadership theories, which include Hersey and Blanchard (1996), House and Mitchell (1974), and Tannenbaum and Schmidt (1958).

The purpose of this study was to determine if there were correlate relationships between presidents' demographic background variables, their career paths and previous leadership positions, and their current leadership operational framework(s) from which they made decisions and led their institutions. The link of demographic variables and career paths to presidents with specific operational frameworks at identified institutions provided valuable knowledge. That knowledge could then be the basis for further studies examining successful and unsuccessful leaders to find good matches; data from this study could provide key indicators.

The following questions guided the study:

1. What are college and university presidents' self-perceptions of the most common framework(s) from which they operate and make decisions?
2. Are presidents more likely to operate from two or more frames?
3. What, if any, relationship is there between sex and/or race and/or age and the frame from which a president most commonly operates and makes decisions?
4. Which types (i.e. sex, age, race) of presidents operate from which of the four frames when making decisions?
5. What is the relationship between past career experience and the frame(s) presidents of universities and colleges use to make decisions in their current positions?
6. What, if any, is the relationship between past employment in leadership positions and participants' current positions as presidents of universities or colleges?

Significance of the Study

Bolman and Deal (1997) presented a theory that went beyond understanding college and university presidents' leadership frames to understanding how they framed the culture, environment, and context in which they worked. With this understanding, presidents could then make better decisions by viewing environments and cultures through multiple lenses (p. 378).

Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) conducted an extensive study to determine if there were relationships to be found among presidents' backgrounds and career paths that indicated a pattern of leadership frame(s) correlating to common backgrounds and careers. They concluded that half of all presidents would be well-served

by attending to the following: “they can avoid failing if they avoid action without consultation and avoid self-sealing cycles of perceived effectiveness, and they are more effective when their behaviors are grounded in the values of their followers” (Birnbaum, 1992, p. 195). However, they also stated that all presidents could be marginally more effective but that the performance of colleges is less dependent upon presidential leadership than most would believe (Birnbaum, 1992). This study would add to the body of knowledge initiated by Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) on understanding how presidents operated and made decisions. The data from this study could be used to identify which backgrounds and career paths indicate at which type(s) of institutions an individual would be likely to become president.

Assumptions

1. It was assumed presidents responded to the survey with honesty and seriousness.
2. Operational frameworks, as designed by Bolman and Deal (1984), could be identified for all of the participants.
3. Understanding how they get to be president and how successful they are is important to the institution.
4. Determining the effectiveness of any leader is contextual, dependent upon the leadership theory being used to “view” that effectiveness.
5. How successful leadership is viewed in higher education varies according to constituencies, levels of analysis, and institutional types (Bensimon, Birnbaum, & Neumann, 1989).

6. Institutions of higher education are complex organizations, and presidents who use multiple frames to understand the environment and culture of their institution are more likely to be more effective leaders.

7. Identification of presidents' leadership frames and their career patterns and background demographics could aid in understanding which presidents were potentially most effective at which institutions.

Limitations

The study was limited in several ways. Data collection was limited by the information and self-perceptions from the participants. Data collection was limited to participants and did not include perceptions of various other stakeholders: specifically, students, faculty, staff, governing Boards, trustees, and state education officials (Bensimon et al., 1989; Fisher, Tack, & Wheeler, 1988). The model used to determine how presidents understood their environments, and subsequently made decisions (Bolman & Deal, 1997), was one of many theoretical models used to determine leaders' understanding of their environments and their decision-making processes. Demographic information to be collected was limited to several variables, excluding the possibility that omitted variables might have a relationship to the president's frames.

The instrument used to survey presidents offered four choices, the responses to which were analyzed to identify from which frame(s) presidents operated most frequently. The instrument, although based on an instrument used by Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992), was altered from an interview format to a survey Likert-

scale model to allow for a much larger population to be sampled. Permission was obtained from one of the authors of the study to use and modify the instrument (see Appendix A).

Definitions of Terms

For the purpose of this research project, listed here are definitions describing terms that are used throughout this paper.

American Council of Education (ACE) – a national coordinating higher education association.

Bureaucratic (structural) frame – the belief that rationality and faith in proper formal structures within organizations minimize problems and increases effectiveness (Bolman & Deal, 1997, pp. 39-40).

Career paths - the previous leadership positions that presidents have held prior to their presidency that collectively, constitute a path leading to the presidency.

Carnegie classification - refers to the Carnegie Foundation's categorization of higher education institutions grouped into five major categories: Doctoral/ Research Extensive/Intensive, Master's Colleges I & II, Baccalaureate Colleges – Liberal Arts & General, Associated Colleges, and Specialized (Other).

Collegial (human resource) frame – the belief that organizations exist to serve human needs rather than the reverse; people and organizations need each other (Bolman & Deal, 1997, p. 102).

Constituents - the various stakeholders found at higher education institutions such as administrators, faculty, staff, students, Board members/Trustees, and State education representatives.

Contingency leadership theory - encompasses a number of theories that suggest leadership is best demonstrated by leaders responding to organizational and environmental variables to ensure success for the organization.

Frame - refers to one of the four frames (bureaucratic, collegial, political, and symbolic) that Bolman and Deal have identified and used to explain how leaders understand their environments and make decisions.

Higher education institutions - all post-secondary institutions in the U.S. that offer coursework leading to a certificate, diploma, degree, etc.

Leadership style - the manner in which presidents guide their institutions, make decisions, and motivate followers in the organization.

Operational framework - refers to one of the four frames (bureaucratic, collegial, political, and symbolic) that presidents use to view and understand their institutions.

Political frame – the belief that organizational goals are met through an ongoing process of negotiation and interaction among key players that intensifies in the face of scarce resources (Bolman & Deal, 1997, p. 165).

President - the chief executive officer or designated formal leader of a higher educational institution.

Situational leadership - requires the leader to behave in a flexible manner, diagnose the leadership style appropriate to the situation, and apply the appropriate style (Hersey, Blanchard, & Johnson, 1996, p. 121).

Symbolic frame – the belief that actions and events embody and express an organization's culture (Bolman & Deal, 1997, p. 217).

CHAPTER II

REVIEW OF THE LITERATURE

The purpose of this literature review was to provide an overview of the research conducted examining leadership theory, studies of presidential leadership, and the work examining how presidents framed their understanding of their environments when they made decisions. Leadership has been seen as having the potential to make a difference in colleges and universities. More recently, however, new ideas have emerged challenging traditional thinking that leadership drives organizations and that organizational performance was linked to the excellence of the leader (Birnbaum, 1992).

The organization of this literature review includes the following:

1. A history of leadership theories;
2. Large scale studies of college presidents;
3. Bolman and Deal's (1984) four frames analysis;
4. The work of Bensimon, Birnbaum, and Neumann (1989; 1992) with the Institutional Leadership Project using Bolman and Deal's (1984) frames to analyze college presidents' leadership.

A History of Leadership Theories

The study of leadership in education, and particularly in higher education, has been an ongoing drama about how to determine what is effective leadership, how can we best conceptualize it, and why is leadership so difficult to accomplish. Most research on

leadership in higher education, until recently, had focused on the presidents of colleges and universities. Because leaders were prominent in organizations, we expected individuals who were identified as formal leaders to be able to change organizations and move them forward (Birnbaum, 1992). This first section summarizes and critiques some of the major theories in leadership studies and focuses on more recent leadership theories that fall under contingency leadership theory and situational leadership theory. According to Bensimon, Birnbaum, and Neumann (1989), leadership theory research could be grouped into six categories: trait theory, power/influence theory, behavioral theory, contingency/situational theory, charismatic/transformational theory, and cultural/symbolic theory. Such grouping, while not exclusive, provided an efficient way of organizing a vast amount of research material.

The leaders of formal organizations are the subjects of leadership studies. There is an overwhelming amount written about leadership, both in the public and in the private sector as well as the world of academe (Birnbaum, 1998; Hersey et al., 1996). This is, in part, due to the constant search to understand what is leadership and who are successful leaders. Most research about leadership began around the beginning of the 20th century. The thinking about leadership and organizations that existed in the 19th century emphasized heroic leadership and bureaucratic organization (Birnbaum, 1998).

Trait Leadership Theory

“Before 1945, the most common approach to the study of leadership concentrated on leadership traits (Hersey et al., 1996, p. 101).” Stogdill’s (1948) work prior to and during World War Two found six trait categories distilled from 124

characteristics of successful leaders. A study by Yukl (1981) reached similar conclusions. However, Marion (2002) points out that Stogdill's research (1948) was circular and outcomes were mistaken for causes (p. 71). Initially, it was believed that leadership could be attributed to certain individual characteristics or traits that one possessed that contributed to being successful as a leader. It was believed that such traits related to one's physical appearance, personality, and social background; in addition to one's ability, these could predict a leader's success (Bass, 1981). However, if one must be born with indispensable traits to ensure success, then no amount of leadership training would suffice to be successful (Bensimon et al., 1989). Trait theory has been generally discounted as explaining the success of leaders (Birnbaum, 1989; Hersey et al., 1996).

However, Bass (1981), Stogdill (1948), and Bennis (1995) believed there were some common traits among successful leaders. The caveat was that these traits were not guaranteed predictors of leadership success, and their absence did not ensure failure. Bennis (1995) and Yukl (1994) did further studies that indicated there may be a few core attitudinal approaches rather than actual traits that could indicate successful leadership (Yukl, 1994, p. 256). Still, trait leadership theory has, as a result of consistently inconclusive research results, been largely dismissed as a valid leadership theory that could indicate success (Bensimon et al., 1989).

Power/Influence Leadership Theory

Theories of power and influence focused on the use of power by leaders (Bensimon et al., 1989). The model created by French and Raven (1959) suggests five

bases of social power and is widely considered the most accepted theory of the uses of power. These bases of social power are the legitimacy of office, a leader's ability to provide rewards, the potential to inflict punishment, a leader's own knowledge or expertise, and the extent to which others liked and affiliated with them (French & Raven, 1959). Other uses have been theorized and added to the original five (Hersey et al., 1996). This model motivated a number of other studies to determine which type of power should be emphasized in order to be successful as a leader. Hersey, Blanchard, and Johnson (1996) identified those studies and found that legitimate and expert power were frequently, but not always, cited by leaders as the most effective (pp. 239-242). One review of a large number of the subsequent studies that have subscribed to French and Raven's (1959) widely-publicized theory found that the results of French and Raven's studies were not conclusive enough to generalize about the best form of power when acting as a leader; the most appropriate form of power was dependent upon the situation (Hersey & Natemeyer, 1996, in Hersey et al., 1996).

Leadership power was related to followers' expectations. Success consisted of fulfilling followers' expectations or, at the very least, changing them (Blau, 1964). Burns (1978) and others agreed that transactional and transformational leadership were primarily about the difference between changing and fulfilling expectations. He defined transactional leadership as the "exchange of rewards for performance" (p. 4). The transformational leader, by contrast, "looks for motives in followers and engages the full person. The result was a relationship of mutual stimulation and evaluation" (Burns, 1978, p. 4). Transactional leadership depended upon values like honesty,

fairness, and honoring commitments. Transformational leadership, however, was concerned with end values such as equality, liberty, and justice (Burns, 1978; Birnbaum, 1989).

Bennis and Nanus (1985) interviewed more than 90 top leaders, primarily corporate and political leaders but also included some college presidents, and found that transformational leadership was a subtle interplay between followers' needs and wants and the leader's capacity to understand them (p. 217). These leaders used the following strategies: establishing a clear agenda/vision; finding meaning through communication; acquiring trust through accountability and reliability; and obtaining recognition through positive self-regard (Bennis & Nanus, 1985, p. 3).

Sergiovanni (2000) applied transformational and transactional leadership to K-12 schools by equating them with the "lifeworld" and "systemsworld" paradigms of sociologist Jurgen Habermas (p. 4). The systemsworld (transactional leadership) referred to management systems used in schools to efficiently achieve goals while lifeworld (transformational leadership) was about the culture and meanings of the school organization. Sergiovanni (2000) argued both were important and complemented one another (p. 5).

Clark (1983) examined the cultures of higher education institutions. When organizational cultures were strong and consistent, a collective understanding existed among the stakeholders about who and what they are. This understanding of the culture was usually initiated by transformational/charismatic leaders with strong values who had led the institution through change or a crisis.

Bass (1985) argued that, whereas the transactional leader accepted the status quo of the organization, the transformational leader sought to change and renew it. Transformational leaders delegated challenging work, maintained informal communication channels, kept subordinates informed, and provided mentoring. The leader's ability to change the way followers perceived and solved problems was crucial (Bass, 1985, p. 22). However, such leadership was likely to work only in times of upheaval and where organizational goals were vague (Bensimon et al., 1989; Fisher et al., 1988).

The dual nature of transformational and transactional leadership, although popular because they appeared to clarify aspects of previous leadership studies, may not have applied well to most institutions of higher education (Bensimon, 1992; Birnbaum, 1992). The history and culture of an institution were more likely to shape the goals and purposes than a president; transformational leadership (where one individual changed the goals and values of the institution) was improbable if not unlikely in higher education and would likely lead to conflict and discontentment (Birnbaum, 1992, p. 29).

Transactional leadership was somewhat more likely in higher education. Presidents wanted to do more than just "manage" their institution. Good presidents synthesized the two approaches; they changed their institutions through transactions while subtly creating meaning of what occurred on campus rather than completely transforming the organization:

It would appear that it is good transactional leadership that affects the life of most colleges. The rarity of successful transformational leadership makes it all

the more noticeable. Organizations can probably tolerate only a limited level of transformation. (Bensimon et al., 1989, p. 75)

Power and influence theories of leadership seem to fall into two categories: a social power or transformational theory that emphasizes the influence a leader may have had upon followers; and the social exchange or transactional theory that stresses mutual influence and meeting each other's needs (Bensimon et al., 1989). Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) and French and Raven (1959) pointed out that successful leaders employed transactional leadership to some extent in order to change their institutions, reinforce already existing values, and work toward achieving goals. But it was unlikely either approach was enough to be successful as a leader in higher education given all of the variables involved.

Behavioral Leadership Theory

The behavioral theory approach to leadership identified the actions leaders actually take when leading. One of the first behavioral theories emerged from leadership studies conducted at the University of Michigan after World War Two. These studies (summarized by Cartwright and Zander in 1960) proposed that leadership fell into two categories: production orientation, or task-focused leadership and employee orientation, or relationship-focused leadership. However, this theory was not fully accepted because no dominant style appeared for successful leaders, and some leaders chose neither style (Hersey et al., 1996).

Stogdill (Stogdill & Coons, 1957) also began a comprehensive study of leadership shortly after World War Two at Ohio State University and

Winer, developed a leadership scale, the Leadership Behavioral Description Questionnaire (LBDQ), to determine leader behavior. The questionnaire identified behavior as either initiating structure or considering others and it stressed that leaders emphasize completing tasks only under certain circumstances while under certain other conditions, maintaining group unity and morale should be emphasized (Stogdill & Coons, 1957). This approach also suggests two categories for leadership: task-focused and relationship-focused.

Shortly after, Selznick (1957) developed a definition of leadership behavior that identified four behaviors of effective leaders:

1. defining of institutional mission and setting goals;
2. shaping the character of the institution;
3. defending institutional integrity;
4. ordering of internal conflict. (pp. 62-63)

Selznick's work did more to define the process of leadership but did not account for why leadership occurs (Scott, 1987, p. 495). All of these early studies analyzed the effect of the leader's behavior on the group depending on the leadership style the leader employed, but they did not give a clear picture of who was an effective leader (Bensimon et al., 1989).

Likert (1961), using research based on the Michigan studies, concluded that "employee-centered" managers were more effective leaders than "job-centered" managers (p. 7). Likert identified four leadership frames that represented a continuum of the management styles of leaders in organizations: he referred to these four as

systems (Likert, 1961). At one end of the continuum, System 1 has an autocratic leader who makes top-down decisions, uses threats and punishment to motivate, and has little, if any, confidence, in her employees. System 2 leaders are benevolent “dictators” who are condescending toward employees, closely monitor delegated tasks, and who use some rewards and punishment as motivation. System 3 leaders consult with employees regarding decisions, are generally confident in employees’ abilities, and use a mix of rewards and punishment to motivate. Finally, System 4 leaders have a participative style, trust employees, motivate through reward and involving individuals, and delegate freely (Likert, 1961, pp. 8-10). The implications from Likert’s research findings suggested that the best leaders were democratic and employee-centered. However, even “his own findings raised questions as to whether there could be a single good style of leadership behavior that applied in all situations” (Hersey et al., 1996, pp. 113-114). A single leadership style did not take into account the cultural differences of customs, traditions, and the level of education and standard of living of followers.

Finding the right combination of leadership approaches led Blake and Mouton (1964), following the Ohio State, Michigan, and Likert studies, to develop a two-dimensional grid that could locate an individual’s leadership style according to one’s concern for task and production or people and relationships (see Figure 1). The grid has been criticized for suggesting there was one best way to lead without taking into account the type of task to be accomplished, what the environmental factors were, and the individual qualities that differentiated each of the followers (Bolman & Deal, 1997).

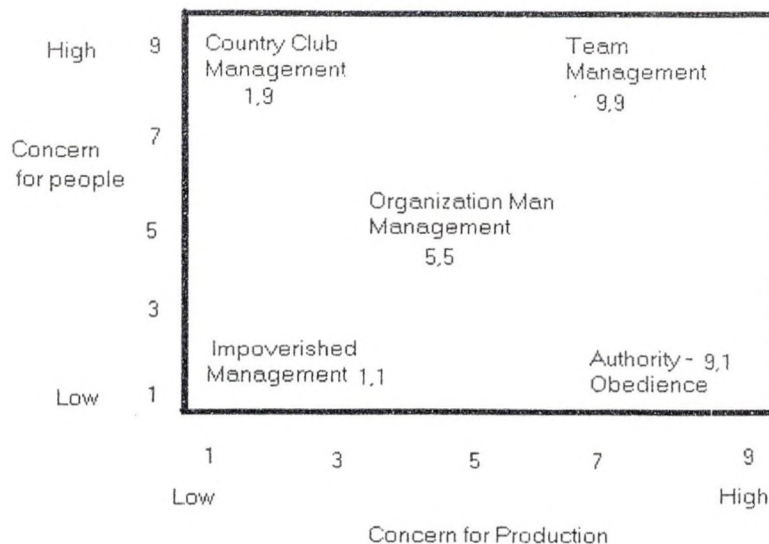


Figure 1. Managerial Grid (Blake & Mouton, 1964).

Further research in the decades following supported the argument that there was no one best style of leadership (Birnbaum, 1992; Hersey et al., 1996). The relationship of leadership behavior to followers' performance was weak, and followers may, in fact, have influenced leaders' behavior (Greene, 1979). It was still unclear if followers' behaviors caused leaders to exhibit certain behaviors in reaction. It again provided a circular argument that did not provide an answer as to what was effective leadership and who were successful leaders.

Contingency/Situational Leadership Theory

Behavioral theories and contingency theories have much in common. Contingency or situational leadership implied that the leader's behavior be modified and was also contingent upon the situation. Ideally, situational leadership includes leader traits, leader behavior, and the present situation (Hoy & Miskel, 2001). This allows for

the possibility that leaders could learn to adapt their behavior to given situations. These theories implied that there was not one best approach to leadership, but not all approaches were equally effective, either (Bensimon et al., 1989). Six major situational leadership theories are examined here.

Tannenbaum and Schmidt (1958) developed one of the very first theories regarding situational leadership where leaders chose one of several behaviors depending on the equilibrium among the leader, followers, and situation. The continuum of leadership behaviors ranged from democratic/relationship to authoritarian/task behaviors, choices based on the Ohio State and Michigan studies. The extremes of the continuum were represented by Theory X and Theory Y behavior with a variety of leadership frames that fell between them (McGregor, 1960). Ultimately, the interrelationships among leader, follower, and situation made it increasingly more difficult to identify causes and effects.

Many consider Fred Fiedler (1967) the pioneer of contingency leadership theory; his work was strongly influenced by the research done by Stogdill, Halpern, Winer and others at Ohio State. His Leadership Contingency Model, or Least Preferred Co-Worker Theory (LPC), was the first major theory to propose precise contingency relationships for leaders. The model identified leadership style as a trait, identified three situational variables, or contingencies, that determined whether a situation is favorable, and determined the effectiveness of the followers.

The motivation of the leader, or leadership style, was measured by the least preferred co-worker scale (LPC) where the leader described either in negative or

positive terms their least preferred co-worker. The LPC score then indicated whether they prioritized completing tasks or maintaining good relations (Fiedler & Garcia, 1987). Three situational variables determined the extent of the leader's power and influence, or control. They are: leader-member relations, task structure, and position power. Fiedler suggested that combinations of these variables created a favorable environment for leadership whereby a leader could exert influence over followers to complete the task. The most favorable was when a leader was well-liked, had position power, and the group's task was well-defined (Fiedler, 1967). There are eight possible combinations of Fiedler's three situational variables, or contingencies, as shown in Figure 2.

Leader-Member Relations	Good				Poor			
Task Structure	High		Low		High		Low	
Position Power	strong	weak	strong	weak	strong	weak	strong	weak
Situation Evaluation	Favorable-----				-----Unfavorable			

Figure 2. Contingency Theory/ LPC Model (Fiedler, 1967).

From all the possible variations, Fiedler advanced three hypotheses: in high-control situations, task-oriented leadership is more effective; in moderate-control situations, relationship-oriented leadership is more effective; and in low-control situations, task-oriented leadership is more effective. The model was used to predict group performance when attempting to accomplish tasks in a wide variety of settings (Fiedler & Garcia, 1987).

Fiedler's contribution to leadership theory cannot be overstated, especially his focus on situational variables as influences; however, his was not the only contingency theory approach (Bensimon et al., 1989). His model had support from other studies testing its validity (Chemers & Skrzypek, 1972; Crehan, 1985; Strube & Garcia, 1981) although not all studies had been supportive (Vecchio, 1977), and the theory was subject to criticism. The theory implied there was one continuum with two exclusive leadership behavior styles while most evidence indicates there are at least two axes for leader behaviors (Hersey et al., 1996). The LPC scale and what it measured appeared to have changed over time. It appeared to originally measure a leader's reaction to hard to deal with workers; later, it appeared to indicate a leader's motivations (Fiedler, 1967; Fiedler & Garcia, 1987).

The Path-Goal model of leadership initially developed by House (1971) and later refined by House and Mitchell (1974) built upon the Ohio State leadership studies (where House spent much of his early career doing research) and expectancy models of motivation. Expectancy theory suggested individuals worked to achieve more if they believed their efforts were appreciated and rewarded (House & Mitchell, 1974). The

Ohio State studies focused on initiating structure and consideration (Stogdill & Coons, 1957). House wanted to determine why the Ohio State model is not always able to predict effective leadership behavior.

House and Mitchell's Path-Goal theory was concerned with "how the leader influences the followers' perceptions of their work goals, personal goals and paths to goal attainment" (House & Mitchell, 1974, p. 81). They identified two categories of contingencies that determined leadership behavior. The first was follower characteristics; the second was the work environment. Successful leaders applied the right leadership behavior based on the contingencies they faced. House and Mitchell (1974) identified four leadership behaviors, or styles, to use in various situations. They are: directive or authoritarian style, supportive style, participative or collaborative style, and achievement style. So, when tasks are unstructured, leaders should be directive and provide structure to reduce uncertainty. Supportive leaders were needed when followers lacked self-confidence. Leaders needed to practice participative leadership to clarify follower's needs and change rewards when followers sought incorrect rewards. When tasks were structured and frequently monotonous and lacked challenge, achievement-oriented leaders were required (House & Mitchell, 1974).

Path-Goal theory was a contingency/situational approach; different types of situations required different types of leadership (House & Mitchell, 1974). There have been numerous studies that determined the validity of the model with varying results. Because of this, House (1996) has recently revamped the model to address some of the problems that have been identified. He expanded the number of possible leader

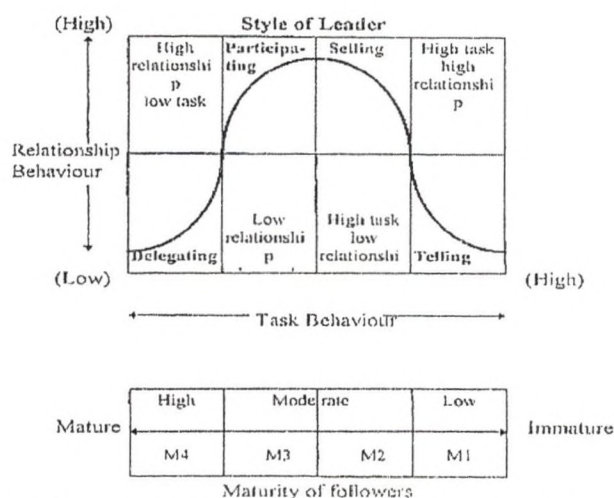
behaviors to be identified, re-examined what were situational variables, and expanded the number of possible outcomes. Despite problems the Path-Goal theory has in dealing with informal leadership and leadership for change, it is useful in pointing out the need to examine situations before deciding on a leadership approach (Hersey et al., 1996).

Vroom and Yetten's Contingency model (1973) suggested the leader's effectiveness was closely tied to how much followers were allowed to be part of the decision-making process. The leader's behavior was contingent upon the questions he faced and assessment of the situation in answering those questions. The first three questions concerned the quality or technical accuracy of the decision, and the last four concerned the acceptance of the decision by group members. The questions were designed to eliminate alternatives that would jeopardize the acceptance of the decision. Five procedures were used that involved varying increments of followers' acceptance of autocratic, consultative, and joint decision-making leadership frames (Vroom & Yetton, 1973).

The Vroom-Yetton model (1973) was a valuable addition to leadership theory. The model provided rules for determining the procedures a leader should follow in a given situation. Leaders learned to recognize characteristics of a situation and adjust their style accordingly. The Vroom-Yetton model was widely respected among other researchers of leadership behavior (Bass, 1990). Vroom and Yetton believed leaders could vary their style to adapt to different situations and that individuals could be taught to be more effective leaders (Vroom & Yetton, 1973).

Hersey and Blanchard developed a situational leadership model based on the Ohio State studies. The terms “task behavior” and “relationship behavior” were used in a similar way to the terms “initiating structure” and “consideration” (Hersey et al, 1996, pp. 134-135). Their Tri-dimensional Leader Effectiveness Model had four basic leadership behaviors that mixed high and low task and relationship behavior as shown in Figure 3. The four leadership behaviors were those perceived by others when trying to influence the activities of followers and thus, was generally different from a leader’s self-perception of their leadership behavior (Hersey et al., 1996).

Hersey and Blanchard went beyond the two-dimensional managerial grid of Blake and Mouton (1964) and developed a three-dimensional model because they believed Blake and Mouton’s grid advocated a one-way best style of leadership that was



high task and high consideration. Instead, they believed a leader’s effectiveness

Figure 3. Situational Leadership Model (Hersey, Blanchard, & Johnson, 1996).

depended on, and was a function of, the situation. They called the third dimension “effectiveness;” however, it really referred to the match of situation and leadership behavior. Effective leaders acted in the best interests of the organization; this often involved making decisions for the long-term success of the organization where the benefits were not immediately obvious (Hersey et al., 1996).

Leaders find themselves in situations that are defined by followers, associates, superiors, time constraints, job demands, and the organization. The key to effective leadership, according to Hersey and Blanchard (1996), is followers and their relationship with the leader. In their model, follower readiness, or maturity (see Figure 3), is the situational variable and directly influences the leadership style to be used. “Effective leaders are able to correctly identify follower readiness and adapt their leadership styles” (Hersey et al., 1996, pp. 142). The appropriate leadership style would fall somewhere along the continuum (telling, selling, participating, and delegating) of the model depending on the readiness of the followers. Those unwilling or unable followers need a high task-low relationship leader: telling. Those unable but willing followers need a high task-high relationship leader: selling. Those able but unwilling followers need a high relationship-low task leader: participating. Finally, those able and willing followers need a low relationship-low task leader: delegating (Hersey et al., 1996).

Hersey and Blanchard’s situational leadership model has been criticized because: their model identified leaders with participative and delegating styles, in contrast to the theories of Fiedler (1967) and House (1971), who do not have followers involved in decision-making. This is partly due to Hersey and Blanchard’s (1996) model being

developed in organizations with clear delineations between leaders and followers. This approach may have little or no applicability in higher education where roles, including the president's role, are not so clear (Bensimon et al., 1989). Grandori (1987) was also critical of situational theory approaches such as Hersey and Blanchard's (1996) because organizations and environments were sufficiently "loose" so that follower reaction to leadership action was not always causal. As well, organizations did not always respond to environmental changes.

Kerr and Jermier (1978) challenged the assumption in contingency theory that all organizations needed formal leadership; they developed the substitutes for leadership model (pp. 375-378). Their model identified supportive and instrumental leadership behavior, outcome variables, and two types of situational variables that acted as substitutes and neutralizers for leadership. Substitutes were variables that made the relation or task leadership behavior unnecessary because they occurred despite a particular leadership behavior. Neutralizers prevented the leader from acting or nullified their actions (Kerr & Jermier, 1978, p. 396). Three types of situational variables were identified in the model that could act as substitutes: characteristics of followers, characteristics of tasks, and characteristics of the organization. The model suggested leader performance was dependent on these characteristics rather than on the leader's behavior. The theory has generated interest because it partially explained why leader behavior was effective in some situations and not others. This is due to there being substitutes for some leader behaviors but not others; some substitute variables may actually enhance a leader behavior (Podsakoff et al, 1993). Despite this, tests of the

Kerr and Jermier (1978) model by other researchers produced mixed results (Howell & Dorfman, 1981).

Most leadership theory development discussed to this point occurred prior to 1980. Much of the work by researchers after 1980 was reinventing or reinterpreting old theories. Kerr and Jermier (1978) pointed out that researchers at the time believed there was little in the way of new work being produced.

Charismatic/Transformational Theory

During the 1980's, two more approaches emerged. One approach, transformational leadership, originally was part of Burns' (1978) work and was further developed by Bass (1985), Nannus and Bennis (1985) and others. Another approach, labeled charismatic leadership, was based on previous trait leadership theory (particularly Max Weber's work) and was developed by a number of people, including House (1977); it emphasized relationships with followers.

House (1977) followed up work on his Path-Goal Leadership Theory with a theory of charismatic leadership that differentiated the personality and behavior of those who do and do not have charismatic leadership. He argued that charisma was not a personality trait; instead, certain characteristics contributed to charismatic relationships. House argued that charismatic leaders caused followers to commit to a vision and to work beyond expectations to achieve that vision. Despite its appeal, research testing the theory has provided only limited support and pointed out the need to attend more to situational factors (Shamir, Zakay, Breinin, & Popper, 1998).

A significant transformational leadership theory, based on Burns' (1978) transactional and transformational leadership ideas, was put forward by Bass (1985) who believed transactional leadership was contingent reinforcement or an exchange of desired wants by leader and followers. Transformational leadership built commitment to the organization. Bass (1990) stated that transformational leadership was built on consistent, trustworthy transactional leadership behavior; one built upon the other and went further than simple exchanges of needs to what he described as "the four I's – idealized influence, inspirational motivation, intellectual stimulation, and individualized consideration" (p. 610-611). Most of the research conducted on transformational leadership used Bass' multifactor leadership questionnaire (MLQ) to measure the beliefs and values of leaders. However, his questionnaire has been criticized, and some psychometric issues still exist (Yukl, 1999). Leithwood (1994) examined transformational leadership in schools and concluded that there was support for transformational leadership being successful in schools. Hunt (1991) also criticized Bass' approach because of Bass' faulty questionnaire, outcomes that were confused with behaviors, and because the two-way interaction of Burns' original transformational theory was largely ignored.

Bennis and Nanus' (1985) work was also described as a transformational theory of leadership. The "new leader is one who commits people to action, converts followers into leaders, and converts leaders into agents of change" (p. 3). Transformational leadership was the followers' wants and needs and the leader's ability to understand and respond to them (Bennis & Nanus, 1985). Much of Bennis and Nanus' (1995) recent

work is based upon trait theory that has been dismissed by other researchers as faulty in identifying leaders.

Transformational leadership, although popularized in the 1980's and 1990's, was likely to emerge as a successful approach only when organizations were in crisis and followers had a high level of trust in their leader (Bensimon et al., 1989).

Transformational leadership was still unclear because Burns' (1978) approach had moral implications (Gardner, 1986) while newer approaches, such as Bennis and Nanus (1985) and Bass (1990), had become synonymous with motivational leadership, retaining little of the moral connection (Bensimon et al., 1989). Transformational leadership did, however, have a wide appeal with leaders in higher education because it provided a way of demonstrating leadership without a need to appear in control of all aspects of campus life, which presidents no longer had.

Cultural/Symbolic Theory

All of the previous theories and approaches accepted the premise that leaders and organizations existed and functioned in a rational world. Cultural and symbolic approaches worked from a different paradigm (Kuhn, 1970) which suggested that the importance of leaders and organizations was their meaning as interpreted by an individual (Bensimon et al., 1989). This change in paradigm raised the importance of how leaders and followers thought about and analyzed data. Shared meaning created by individuals in an organization, including the leader, influenced perceptions and actions. These "shared meanings can be thought of as the organization's culture" (Bolman &

Deal, 1997, pp. 216-217). The following theories proposed that the leader's influence over and understanding of the organization's culture were the keys to their success.

One of the very first researchers who saw organizations as "cultures" and non-rational institutions was Selznick (1957) who believed that because each organization had different values, each had a unique identity. His work was initially influenced by Chester Barnard's Structuralist Theory (1968) and by Spencer's (Gray, 1996) organic perspective of organizations. Selznick's theory evolved from his research conducted in Tennessee during the 1930's, when he observed the Tennessee Valley Authority building dams for flood control in the region. He developed a leadership theory that emphasized leaders as defining and defending the organization's institutional values (Selznick, 1957). Selznick's work was the predecessor of the cultural leadership theories that followed in the 1980's, although Scott's (1987) criticism of Selznick's approach was that it described what occurred, but it did not explain how the leader made events take place.

Deal and Kennedy (1982) proposed that shaping the culture of the organization was the role of a successful and effective leader. They argued that leaders needed to show concern for individuals beyond organization rules, establish rituals and ceremonies, make clear the unwritten rules of the organization, and instill a belief in followers that what they do is valued. Deal (1985) went on to argue that school leaders must be heroes who embodied core organizational values, followers must be situational heroes, and cultural rituals must be widespread, participative and valued. It was also important to have individuals who told the story of the organization to newcomers.

Peters and Waterman (1982) felt successful organizations and leaders did the little things right (p. 15). Leaders created strong cultures through shared values. This was done, in part, by creating new symbols and myths. However, like Deal and Kennedy (1982), Peters and Waterman's work was analytical rather than empirical. Their work explained how rather than why leaders were successful. There has been little empirical research into school cultures (Firestone & Louis, 1999), and Bates (1987) argued that Peters and Waterman treated organizational culture too narrowly, too much like managerial culture. What was good for leaders was not always the best for followers (Hoy, 1990).

Finally, Schein (1992) believed leaders' real work was to create and manage culture. The best leaders effectively managed culture to best meet organizational needs. The leader managed meaning. Schein (1992; 1999) developed a complex system of understanding culture in organizations. This was done partly because of his belief that quantitative instruments could not accurately measure culture (Schein, 1999). Schein's (1992) work was a comprehensive look at organizational culture and leadership. However, there was no consensus among researchers that culture could be managed as Schein proposed. In fact, organizational culture influenced leadership, and meaning came from organizational activities, not only heroic leadership (Clark, 1993; Schein, 1992).

The review of leadership theories listed here is extensive but not exhaustive. Trait, power/influence, and behavioral theories attempted to rationalize the roles of leader and followers within an organization to little avail. Contingency/situational

theories emphasized variables outside of the leader's control. Within contingency theory, certain approaches, such as Kerr and Jermier's (1978) substitutes for formal leadership, were helpful in understanding how leadership could emerge from followers (Bensimon et al., 1989). Charismatic/transformational theory, although very popular, especially in the corporate culture, advocated visionary leadership when the vision may well be that of collective individuals within the organization and not that of the leader alone (Birnbaum, 1992). Transformational leadership was "an anomaly in higher education and more likely to lead to disruption and conflict than to desirable outcomes" (Birnbaum, 1992) because the goals of higher education institutions are already heavily influenced by their culture and history, and stakeholders who may hold a very different vision from that of the president. Cultural/symbolic theory was different in that the means and the meaning were crucial. The leader worked to invent reality for followers and could work best when an institution was in crisis (Clark, 1983). Such an approach had some limitations because the diversity of leaders on a campus limited what meaning a president could create (Birnbaum, 1992).

Bensimon, Birnbaum, and Neumann's (1989) review of leadership literature has been invaluable in guiding this review. This review attempted to highlight various schools of thought regarding leadership theory and point out their limitations in understanding the leadership role of presidents of colleges and universities. It also provided a theoretical grounding for the research literature to follow regarding studies of college presidents.

Studies of College and University Presidents

Studies of presidential leadership in higher education have come to three methods for identifying effective or successful presidential leaders: the observations and judgments of experts, nominations by peers based upon reputation, and self assessments by the leaders themselves. (Birnbaum, 1992, p. 51)

Because research on leadership did not exist in any substantial way until the beginning of the 20th century, studies of college and university presidents, although numerous, have been conducted only during the past century. Much of the earliest literature about college presidents consisted of biographies written examining the lives of prominent, successful presidents after their careers in higher education had ended. Earlier aggregate studies, such as Kruse and Beck (1928), Warren (1938), and Donovan (1955), looked primarily at demographic information that identified who was in the presidency and later included the observations and speculation of the authors and other experts as to the necessary "traits" to be a successful president. Newer studies, conducted in the 1960's, including ones by Bolman (1965), Ferrari (1970), and Kerr (1970), attempted to go further by using the demographic data they collected and personal interviews (which, in some cases, also included surveying other administrators, faculty, staff, and students) to understand the motivations of presidents, career paths to the presidency, and the impact of their personal social backgrounds (Cohen & March, 1974).

One of the best studies conducted on the college presidency was done by Cohen and March (1974) who, working with a grant from the Carnegie Foundation of

Education, surveyed subjects at 42 colleges and universities (the study was restricted to four-year institutions), 41 presidents, and administrators, staff, and students from the 42 institutions (p. xxi). Empirical data and Cohen and March's expertise formed the basis for the book summarizing their work. In it, they made a number of assertions that have affected subsequent studies of college presidents.

Cohen and March (1974) concluded that the presidency was morally ambiguous, decision-making was muddled, and the university was an organized anarchy (pp. 2-3). Presidents largely reacted rather than acted; they tended to become presidents at institutions familiar to them; they followed a conventional career path to the presidency through the administrative ranks of academia; they viewed the presidency as the peak of their careers; and the outcomes at their institutions were rarely dependent upon their actions or decisions (Cohen & March, 1974, pp. 195-229). Cohen and March (1974) did an effective job of using previous studies to identify demographics for college presidents. They provided detailed data regarding presidents' marital status, sex, race, religion, politics, family and academic backgrounds. Cohen and March (1974) pointed out the typical career paths of presidents; they also pointed out that career advancement for presidents tended to be horizontal or downward in terms of the prestige of the institution at which they were employed. Rarely did one move upward both in career position and institutional prestige. Interestingly, they also identified geography as a factor; they found that presidents tended to be parochial about where they lived and worked (Cohen & March, 1974).

Cohen and March (1974) suggested that presidents were only effective when they acknowledged their pasts: the implications of birth, education, and experience. Some of those implications are changing as society and academia become more inclusive in regard to gender and race (Ross & Green, 2000). Cohen and March (1974) looked at university and college leadership through eight metaphors: the competitive market, administration, collective bargaining, democracy, consensus, anarchy, independent judiciary, and plebiscitary autocracy. The roles presidents played within these organizational metaphors were in reaction to various events and situations. Cohen and March (1974) concluded that the administrative metaphor allowed for the best understanding of how these institutions were led. The "college president faced four ambiguities: the ambiguity of purpose, the ambiguity of power, the ambiguity of experience, and the ambiguity of success" (Cohen & March, 1974, p. 195). These ambiguities were at the core of leading as president. The authors arrived at eight rules to aid college presidents in dealing with these ambiguities: spend time, persist, exchange status for substance, facilitate opposition participation, overload the system, provide garbage cans, manage unobtrusively, and interpret history.

Cohen and March (1974) suggested that the more time spent on a decision by a president, the more information the president needed to make an informed decision; others on campus saw time spent on an issue directly related to its importance in the eyes of the president. Presidents must persist because organizational decisions were often not final and frequently contextual. Improved organizational morale was created when presidents deflected praise to others as long as organizational goals were being

achieved. Presidents often faced opposition to many ideas they proposed for their institutions; it was only natural to want to avoid or minimize that opposition. However, inviting and facilitating opposition was healthy because presidents were often sheltered by their immediate circle from negative information (Cohen & March, 1974).

The organized anarchy model aptly described the environment of a college or university that led them to propose that presidents should never commit solely to one or two projects. Instead, presidents should float proposals and projects to subordinates constantly. Cohen and March (1974) believed that, given numerous proposals presented in an organization, the initiator and the administrator (often the same person) have control over the proposal's acceptance and implementation.

Related to this was the belief that any proposal often picked up baggage when it was proposed. The authors used the metaphor of a garbage can to describe how a leader could provide distracting issues that collected "garbage" and could be used to minimize baggage that individuals attached to proposals the president wanted to see succeed (Cohen & March, 1974). This "garbage can" model was the work of Baldrige (1971), who likened the decision-making process to throwing a little bit of everything into a garbage can. The organized anarchy model, accordingly, was somewhat fatalistic in its approach to conflict resolution, describing the higher education organization as incapable of managing itself rationally due to ambiguous goals, varying systems of rewards, and lack of consensus. By managing unobtrusively, a president should attempt to arrive at where he wants to go by letting the prevailing winds take him there; implementing only minor changes to steer the organization in the right direction rather

than ordering a new course when becoming captain. Finally, a president must be able to interpret past events within the organization and use that information to make successful decisions in the future (Cohen & March, 1974).

Cohen and March (1974) rightly deserved credit for a landmark study in higher education leadership, particularly the leadership of the presidency. Their premise that the president just does not make much difference was later contradicted by numerous studies (Benezet, Katz, & Magnusson, 1981; Fisher, Tack, & Wheeler, 1988; Kerr, 1984). Those studies suggested presidential leadership was vital to colleges and universities.

Benezet, Katz, and Magnusson (1981) conducted the Presidency Project, a study supported by the Lilly Foundation and American Council on Education, from 1976 to 1979. They interviewed presidents, administrators, faculty, and students at 25 universities and colleges (p. v). Their conclusions were based on the statements of approximately 250 individuals with an emphasis on the discussions that took place with the 25 presidents.

(Benezet, Katz, & Magnusson's (1981) study was prefaced by a summary of perceptions of the presidency from previous studies, including Stoke's *The American College President* (1959), Dodd's *The Academic President: Educator or Caretaker?* (1962), March and Cohen's *Leadership and Ambiguity: The American College President* (1974), and Burn's *Leadership* (1978). In the preface, they concluded that previous studies were largely negative regarding the impact presidents could have upon their

institutions. However, they stated that presidents still retained the power to change and move their institutions.

Benezet, Katz, and Magnusson (1981) provided an analysis that stated three major conclusions: presidents do make a difference, the job requires an inordinate amount of time and energy, and most presidents aspire to be educational leaders as well as managers. They identified the relationships with those close to the president as being generally positive while those distanced from the president were more likely to be critical of the president and somewhat negative. Presidents, generally, did not consult faculty or students on issues, including those that affected them. They were outgoing individuals who wanted to be liked, but over time, as disappointments mounted, they tended to insulate themselves from criticism (Benezet, Katz, & Magnusson, 1981).

Benezet, Katz, and Magnusson (1981) identified, as many of these studies do, personal characteristics and demographic data about presidents that have changed only slightly in the past twenty-five years. Since then, there has been an increase in the representation of women and visible minorities in the presidential ranks (Birnbaum & Umbach, 2001, p. 212). Based on presidents' characteristics and interviews, Benezet, Katz, and Magnusson (1981) determined six categories of presidential leadership. The take-charge president exhibited certain qualities that helped ensure a long and effective term of office. The standard-bearer president was the leader of a prestigious institution and worked hard to maintain and improve the reputation of their colleges. The organization president appeared to be pre-occupied with the institution running like a well-oiled machine and worked hard to keep confrontations and dissatisfaction to a

minimum. The moderator president typically invited participatory leadership and involvement on decisions and saw the institution as a democracy and consulted interested groups on most issues. The explorer president took on challenges and looked to change the institution to meet a need. Lastly, a founding president (a rarity even twenty-five years ago and only one of the presidents in Benezet, Katz, and Magnusson's study) was one who led a new institution or configuration of campuses within a system (Benezet, Katz, & Magnusson, 1981).

These categorizations, while helpful, were descriptive rather than prescriptive and did little to help understand why presidents were effective. The study by Benezet, Katz, and Magnusson (1981) served to update older data on college presidents, provided new labels for behavior but did so with data collected from a narrow sampling of presidents. The authors sought to "understand the office of the presidency in its current setting" (Benezet, Katz, & Magnusson, 1981, p. v).

In February 1982, the Association of Governing Boards of Universities and Colleges (AGBUC) created, and the Carnegie Corporation funded, a commission charged with investigating the state of the college presidency and making recommendations for strengthening it (Kerr, 1984, p. ix). Kerr, a leading researcher, author, and higher education administrator (a former University of California president), was appointed chair of the commission. The commission, with many leading figures in higher education as members, sought to answer four major questions. They focused on the difficulty in attracting quality individuals to serve as presidents, the length of term in office for presidents, the focus of presidents' energies in office, and what would make

the office of president appear more attractive to prospective individuals. The commission interviewed over 800 individuals, including 400 current and 100 past presidents. From the commission's work, three major reports were released. The commission's official report, *Presidents Make a Difference: Strengthening Leadership in Colleges and Universities* (1985), continued the trend in the 1980's of emphasizing that presidents did matter at their institutions; they could effect change (Kerr, 1984, p. x-xii).

The report provided recommendations for choosing, introducing, supporting, and bidding farewell to college presidents. The report focused on the board's role in executing these responsibilities. While useful, the commission's report ultimately reflected its sponsor's interests and emphasized the President's relationship with the Board at colleges and universities when it stated "few presidents can do much better than their boards" (Kerr, 1984, p. 89). The report recommended a president should serve the board first ahead of all other constituents; although this might be true in part on many campuses because of the emphasis on accountability to the Board, it would be ill-advised to openly conduct one's activities as president in such a manner, according to Birnbaum (1992).

A very different study of college and university presidents was conducted from 1984 to 1986. Fisher, Tack, and Wheeler (1988) collaborated on an extensive study comparing effective versus representative presidents supported by the Exxon Foundation and the American Council on Education (pp. vii-ix). The study sought to identify

differences that would indicate why some presidents were effective and others were not as effective.

A stratified random sample of 485 individuals, the majority of those being current presidents and considered knowledgeable about higher education, were asked to identify persons they felt were effective presidents. In 1984, the 222 who responded identified 412 out of a possible 3300 current college presidents. These 412 and another group of 412 randomly selected from the remaining 3300 were categorized as "effective" and "representative" presidents. They were all asked to fill out a survey, the Fisher/Tack Leadership Inventory Questionnaire. Fisher, Tack, and Wheeler (1988) found the results from their survey were statistically significant in differentiating the two groups of presidents (pp. vii-viii).

"Colleges and universities need especially strong leaders" (Cowley, 1980, p. 70). Fisher, Tack, and Wheeler adhered to this credo and pointed to other studies such as Stoke (1959) and Kaufmann (1984) to support their assumption when they conducted the study. Fisher, Tack, and Wheeler (1988) provided an excellent overview of previous studies of presidents and accurately identified them as the following:

- Presidential profiles by Bolman (1965), Ferrari (1970), and Cohen and March (1974)
- Presidential selection processes by Nason (1984) and ACE (1985)
- Presidential leadership and ambiguity by Cohen and March (1974)
- Dynamics of the Presidency by Benezet, Katz, and Magnusson (1981)
- Presidential use of power by Fisher (1984)

- Presidential roles, functions, and relationship to the Board by Kerr (1984).
(pp. 3-4)

Fisher, Tack, and Wheeler (1988) identified only one study about effective presidents, by Pruitt (1974), which they used as the basis for their research; however, Pruitt's study of 25 presidents did not explore the differences in leadership behaviors of the sample group, an area the authors considered crucial in their study.

Fisher, Tack, and Wheeler (1988) provided a definition of "effective" and responded to some common concerns about how to define successful leaders by identifying characteristics. They provided a detailed description of their methodology which included stratifying the institutions of higher education in the U.S. (eliminating specialized institutions) and grouping institutions into nine geographical regions and four categories: 2-year, 4-year, private, and public (pp. 8-10). A total of 412 effective presidents were identified by the nominating group; another 412 representative presidents were chosen using a stratified random sampling process for comparison.

The authors then developed the "Effective Leadership Survey" that included sections on presidents' demographic backgrounds, career and academic experiences, and their leadership attitudes and behaviors. This survey instrument was piloted to a random sample of 400 presidents, 256 who responded. The survey was modified and streamlined in accordance with feedback received and, through factor analysis, five categories that contained 40 questions were retained. The survey was then sent out to the 824 presidents from both groups and 615 (75%) were returned. The data collected from the returned surveys, along with a total of 18 interviews (interview questions were

piloted with five presidents from Ohio) of effective presidents from the five institution categories, were then analyzed using statistical tools. All data were then reviewed for statistically significant findings; this compilation of data was the basis for the authors' conclusions (Fisher, Tack, and Wheeler, 1988, pp. 13-17).

The conclusions arrived at, based on extensive data, suggested the following attributes or characteristics were typical of effective presidents in comparison to representative presidents, according to Fisher, Tack, and Wheeler (1988):

- Effective presidents were less collegial and more distant;
- Effective presidents were more inclined to rely on respect than affiliation;
- Effective presidents were more inclined to take risks;
- Effective presidents were more committed to a vision than the institution;
- Effective presidents were more thoughtful than spontaneous;
- Effective presidents worked longer hours;
- And effective presidents were more supportive of organizational flexibility than rigidity. (pp. 99-113)

In addition, the authors summarized their data into profiles of effective and representative presidents. Effective presidents were more likely to have attended a private university for their doctoral degree, became presidents at a younger age, were more likely to be leaders of larger institutions, had more professional experiences outside of academia, were generally more prolific in scholarly pursuits, were more likely to not be associated with any formal political philosophy, and, interestingly, they were more likely to come from families where their parents were not college-educated. Other

leadership behaviors identified as being more prominent in effective leaders were a strong commitment to higher education, a focus on winning, a realization that the role of president is difficult and not everyone can be made happy, a resolve to go straight to the source of the problem for answers, an intolerance for yes-people around them, a sense of humor, a concern for the individual, self-control in the role of president, a belief in distance in relationships as president, and finally, an indifference to self appearance (Fisher, Tack, & Wheeler, 1988, pp. 107-110).

The extensive data collected by Fisher, Tack, and Wheeler (1988) is laudable; however, it is unfortunate that they arrived at what they believed were conclusive results regarding characteristics of effective college presidents that could be applied to any higher educational setting by any leader. In fact, other studies had and continued to point out that asking leaders to self-identify their effectiveness as a leader ignored the cognitive processes that allowed presidents to see themselves in a much more positive light than might be suggested by interviewing others on a campus (Bensimon et al., 1989; Birnbaum, 1992; Cohen & March, 1974). It was a time when leadership in higher education was under attack, and many individuals looked to and promoted corporate cultures and leadership behaviors as successful models (Deal & Kennedy, 1982; Waterman, 1994).

The Association of Governing Boards of Universities and Colleges (1996) conducted another study of the college presidency. Their report, entitled *Renewing the academic presidency: Stronger leadership for tougher times*, addressed the challenges college presidents faced. In light of what the commission that wrote the report saw as

major issues facing presidents in the late 1990's, the report recommended presidents take back some control and limit shared governance with faculty on curricular matters. The report emphasized presidents' relationships with their boards and the importance of keeping boards informed while boards needed to be supportive of presidents who took risks (AGBUC, 1996, p. 23). Their recommendations implied that presidents' traits and behaviors were key to successful leadership despite pointing out the variability of higher education institutions (AGBUC, 1996, p. 11). The sponsoring organization (AGBUC, 1996), and the backgrounds of the members of the commission, probably determined the direction and nature of the report and its conclusions. The report emphasized the role of the board and trustees in determining the success of the president (p. 48).

One of the most thorough and ongoing studies of college presidents has been the American Council on Education's (ACE) National Presidents' Study series conducted every four years since 1986. The data have been expanded to include numerous topics about presidents over the years. The most recent study, conducted in 1998 and released by Ross and Green (2000), collected data from 2380 presidents (p. 2). The study pointed out changes in demographics from the first study in 1986: the number of women in the presidency had increased substantially; presidents were older when hired; presidents felt planning, budgeting, and fundraising took up most of their time; and most presidents now work under a written contract (Ross & Green, 2000). These reports were, and are, the most extensive data regarding presidents' demographic information and activities; however, they did not bring us closer to understanding who were effective presidents and why some were successful and others were not.

The above-mentioned studies were just some of the numerous studies about college presidents; the data collected and published about presidents have been extensive as higher education organizations and institutions have sought to understand why some presidents were effective and others were not. Recently, research completed and published in some doctoral dissertations has been useful in beginning to understand how presidents lead and which presidents were successful in which situations (Levine, 2000; Lockard, 2000; Mathern, 1998; Tingley, 1997). However, little work had been done to understand how presidents made sense of their organizations by framing events and situations and using those frames to make leadership decisions. Framing, or making sense of one's environment, and using the same frames' paradigm to make effective decisions and take action, provided a recent and promising way to identify effective presidents and the situations in which they succeeded. It did so by emphasizing the shared meaning of culture and environment that presidents and stakeholders in higher education must find.

Literature Supporting This Study

Bolman and Deal's Four Frames Analysis

Bolman and Deal (1997) have suggested that leaders "frame" their understanding of the organizations they lead in four ways: structural, collegial, political, and symbolic. Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992) have identified factors that related to a leader's "framing" of an organization. Some of those factors were pointed out in this review and were used to ask key questions. Those questions were the basis

for further study conducted by this researcher that were not addressed specifically by the Institutional Leadership Project (Birnbaum, 1992, p. 38):

1. Does the experience with which presidents assume their positions affect their performance as presidents?
2. What is the relationship between sex and/or race and/or age and the frame from which a president most commonly operates?
3. What is the most common frame(s) from which presidents operate? Are presidents more likely to operate from two or more frames?

Theories, and in particular theories regarding organizations and leadership, were crucial because some leaders used them to make sense and order of everything going on around them. They helped focus on what was important while filtering out the non-essential, and they grouped information into patterns that were familiar and comprehensible (Bolman & Deal, 1997).

This study was founded upon the theoretical frames analysis work conducted by Bolman and Deal (1997) who, in 1984, created a four-frame model for understanding organizations and understanding how leaders framed and reframed their views of their organizations when they made decisions and took action. Their concept of viewing organizations through structural, collegial, political, and symbolic lenses has been widely praised as being a comprehensive way for leaders to understand their environments and decide on the best course of action for the organization: successful situational leadership. The multiple frames for viewing organizational complexity allowed leaders to avoid seeing only one solution to a problem (Bolman & Deal, 1997).

Bolman and Deal (1997) drew from the research and literature on organizational behavior, leadership, management and sociology to construct their frames. The structural frame “emphasizes goals, specialized roles, and formal relationships” (p. 13). Organizations are structural by nature and are created to delegate work to individuals governed by rules and policies; problems exist when the structure cannot meet the demand of what is required or when persons in the organization do not follow the structure.

The collegial, or human resource frame, suggested the relationship between the individual and the organization was crucial. Individuals within organizations have needs and feelings that have to be met and understood, and the organization has needs that individuals have to fulfill. The key is in finding “a way for individuals to get the job done while feeling good about what they were doing” (Bolman & Deal, 1997, p. 14).

The political frame was based on the work of political scientists (Pfeffer, 1992); the metaphor used to describe the organization was that of a jungle or an arena where competition and survival of the fittest ruled. Individuals and coalitions competed for scarce resources and power; conflict occurred because of differences in needs. “Bargaining, negotiation and compromise were part of everyday life” (Bolman & Deal, 1997, p. 14).

Dupree (1992) and others (Deal & Kennedy, 1982; Peters & Waterman, 1982) emphasized symbolism in organizations. The symbolic frame viewed organizations as tribes with rituals, myths, and ceremonies: cultures unto themselves that one must be accepted into and seek to understand. “Individuals played their roles in a drama and

problems arose when actors refused to play their parts, when symbols lost meaning, and when rituals lost their importance” (Bolman & Deal, 1997, pp. 14-15). The meaning derived from actions and events was more important as it was shared and interpreted by individuals within an organization than the actual events and actions.

The structural frame was based on research and theory cited earlier in this chapter and on the work of industrial analysts such as Taylor (1911) and his theory of “scientific management”; later individuals such as Fayol (1919) and Gulick and Urwick (1937) who developed principles of specialization and delegation of work, and the work of Weber who stressed rationality in organizations to achieve goals (in Bolman & Deal, 1997). Assumptions inherent in the structural frame suggested rationality and formal arrangements, creating a pattern of roles for individuals that would ensure success. Six assumptions were made to understand the structural frame:

1. Organizations exist to achieve established goals.
2. Organizations work best when rationality prevails.
3. Structures must be designed to fit an organization’s circumstances.
4. Organizations increase efficiency and enhance performance through specialization.
5. Coordination and control are essential to ensure individuals work together.
6. Problems arise from structural deficiencies. (Bolman & Deal, 1997, p. 40)

Coordination and control over who does what work was achieved vertically through top-down authority within the organization and horizontally through committees and meetings (Bolman & Deal, 1997).

The structural frame emphasized the context in which work was done and the formal roles individuals played within the organization rather than who did the work. Bolman and Deal (1997) pointed out that organizations divided work to reach goals by establishing roles, functions, and divisions and then integrated their efforts through vertical and horizontal methods (p. 57). Leaders who viewed their organizations only through a structural frame were bound to omit political, human resource, and symbolic reasons as to why events occurred the way they did in their organization and, maybe even more importantly, why people acted and reacted the way they did in situations.

The human resource, or collegial, frame is based in part upon McGregor's (1960) work with Theory X and Theory Y. Theory Y suggested that leaders see subordinates as creative, intelligent and willing participants in making the organization a success if they were given some positive reinforcement and autonomy (McGregor, 1960). The human resource frame valued people's skills, energy, and commitment to an organization and proposed that the organization could be an energizing and mutually rewarding place for individuals. It proposed that organizations did not have to be alienating and dehumanizing places as in the past; in fact, such an environment would not be as productive or successful as one in which human resources were valued.

Much of the thinking behind the human resource frame was also dependent on the concept of human need. Human needs were similar in any organization; once basic human needs were satisfied, individuals sought belonging, self-worth, and self-actualization to be happy (Maslow, 1954). McGregor's Theory X/Theory Y approach went further than Maslow's theory by suggesting leaders' assumptions about people's

behavior became self-fulfilling (McGregor, 1960). McGregor (1960) stated "the essential task of a manager was to arrange the organization so that people could achieve their goals by directing their efforts toward organizational rewards and goals" (pp. 35-36). Argyris (1964) also argued that organizations tended to frustrate people with mundane work, tight management control, and little opportunity for creativity or ingenuity. The human resource (collegial) frame was often overlooked as a way of managing organizations until after World War Two; recently, many organizations have promoted tending to the needs of individuals as a way of strengthening the organization (Waterman, 1994).

The human resources frame stressed the relationship between people and organizations. Organizations needed people for their energy, effort, and talent, and people needed organizations for the many intrinsic and extrinsic rewards they offered, but their needs were not always well aligned. When the fit between people and organizations was poor, one or both suffered (Bolman & Deal, 1997).

One human resource strategy was participation by providing people with the opportunity to influence decisions about their work environments. When done in a real way, allowing subordinates actual power in decision-making, the results were generally positive (Blumberg, 1968). However, participation generally meant the organization had to change; change was usually resisted, especially when that change was upward. Participative management became more illusion than reality, failing because managers never really gave up control (Herzberg, 1966). Motivators such as job enrichment, achievement, recognition, and autonomy were more successful than hygiene factors,

such as working conditions, salary, status, and interpersonal relations in increasing job satisfaction. Yet, not providing such motivators prevented true participation (Herzberg, 1966).

Social needs and the styles of individuals were substantially influenced by a leader's early life experiences, and one's style did not change easily to accommodate an organization. Interpersonal dynamics between individuals within an organization were often the greatest cause of dysfunctional work. Argyris and Schon (1996) argued that individuals acted according to personal theories that guided their actions; however, what individuals claim they did and what they did in reality were often dissimilar (pp. 92-93). As leaders, this was important because involvement in shaping their work environment, not rhetoric about participation, was generally associated with positive employee behaviors (Hersey et al, 1996; Likert, 1961). Despite the positive results, many skeptics still doubted the assumptions of the human resource frame (Bolman & Deal, 1997).

The human resource frame was based on the following assumptions:

1. Organizations exist to serve human needs first;
2. People and organizations need each other;
3. When the fit between individual and system is poor, one or both will suffer;
4. And a good fit benefits both; individuals are satisfied with meaningful work and organizations get energized and talented work that ensures success.

(Bolman & Deal, 1997, pp. 102-103)

Leaders who operated from a human resources frame were seen as team players who encouraged others to participate in the organization and worked at keeping individuals happy and morale high (Birnbaum, 1992).

Politics are a part of life; they are in every organization and employed by each individual, either consciously or subconsciously (Machiavelli, 1961). The political frame emphasized that power, its distribution and exercise, was necessary to acquire what was needed or wanted. There was no assurance that power would be used justly; however, power itself was not inherently bad (French & Raven, 1959; Bolman & Deal, 1997). The structural frame suggested there was an efficient way to attain organizational goals. The human resource frame implied organizational and personal differences could be resolved in a win-win scenario. The human resource frame became the dominant model for managing organizations until the economy soured in the late 1970's and leaders faced conflicts that could not be resolved (Bolman & Deal, 1997). The political frame defined dynamics in organizations. Coalitions formed in order to satisfy the needs of the coalition members (Cyert & March, 1963, p. 30). Political activity was more common under conditions of stress and scarce resources in organizations. Organizational goals were decided and arrived at through a process of bartering and negotiating among individuals with and without various types of power (Bolman & Deal, 1997).

Scarcity of resources and power relationships create a political situation that is neither inherently good nor bad (Foucault, 1975). Many social scientists, including French and Raven (1959), have summarized the various sources of power. Because of

the existence of multiple sources of power, leaders often did not have the ability to make binding decisions within organizations. College presidents' power often fell into areas that many individuals on campuses did not see as directly affecting them (Bolman & Deal, 1997).

In the structural and human resource frames, conflict was a problem that must be made to disappear. A political frame perspective did not necessarily see conflict as a problem. "The focus of the political frame is not on resolution but on strategy and tactics. Conflict challenges the status quo. Conflict encourages new ideas" (Bolman & Deal, 1997, p. 172). The political frame suggested power used and abused was a natural part of organizational interaction. Leaders needed the following skills to be able to thrive in a political environment:

1. Develop a direction, have an agenda;
2. Build support through networking and coalitions;
3. Understand the political terrain;
4. And successfully bargain and negotiate to acquire resources. (Pfeffer, 1992)

Burns (1978) explored ethical issues in organizational politics. Using the work of Maslow (1954), Burns (1978) believed in John Stuart Mills' adage, the "greatest good for the greatest number," should guide one's political actions. Positive politics occurred when one chose actions that were guided by higher motives and higher levels of morality (pp. 448-449). The moral dimension of leadership was crucial for success (Dupree, 1992; Burns, 1978). Politics could be destructive, and it could be noble. Organizations were places of internal politics and of political agents with their own

agendas. Those agents were often powerful and able to influence and move organizations. Successful leaders recognized and understood political realities in an organization (Bolman & Deal, 1997). The assumptions of the political frame could be summarized as follows:

1. Organizations are coalitions of individuals and groups;
2. There are differences among members within coalitions;
3. Most decisions in organizations involve allocation of hard to come by resources;
4. Scarce resources and continual differences create conflict resolved by who has the most power;
5. And decision-making and achieving goals is done through negotiation and bargaining among various stakeholders. (Bolman & Deal, 1997, p. 163)

In the symbolic frame, one attempts to find meaning and belief in symbols and symbolic gestures and actions. Based on ideas from a number of other academic disciplines (Cohen & March, 1974; Selznick, 1957), including sociology and organizational theory, the symbolic frame followed certain assumptions:

1. The meaning of any event is more important than what actually happened;
2. People interpret events differently creating multiple meanings of the same event;
3. Life is ambiguous which undermines rational problem-solving and analysis;
4. Because of this ambiguity, people create symbols to reduce uncertainty and provide direction;

5. And many events and processes become the myths, rituals, and ceremonies of organizations that are told through story. (Bolman & Deal, 1997, pp. 216-217)

“Symbols express an organization’s culture” (Bolman & Deal, 1997, p. 217). Leaders were operating primarily from a symbolic frame when they maintained the organization’s culture and emphasized values through the use of myths, rituals, and language that created shared meaning (rather than multiple meanings) of events and processes (Birnbaum, 1992). Shared myths can create organizational cohesion, or they can foster resistance to needed change (Bolman & Deal, 2002).

Culture, according to Deal and Kennedy (1982), was defined as “the way we do things around here” (p. 4). Bolman and Deal (1997) asked, “Do leaders shape culture or are they shaped by it?” (p. 231). How much impact leaders had on developing myths and rituals and how much impact the organization had on their leadership style was crucial to understanding the effectiveness of presidents at colleges and universities. Once an organization had a long history and culture, that culture had an effect upon newcomers, including leaders, and predisposed them to act in ways that were accepted within the organizational culture (Schein, 1985).

The symbolic frame was different from the other frames in that it did not stress rational processing of events and individual actions. Ambiguity and complexity in organizations were the norm, and people used metaphors, symbols, and ceremony to simplify the amount of information they had to cope with in large organizations.

Leaders, who had to digest and manage overwhelming amounts of information, sought to simplify that information in order to make decisions (Bolman & Deal, 1997).

Bolman and Deal's four frames offered an analytical process for leaders to influence events in their institutions and to then choose a course of action most appropriate for the situation. However, studies that have looked at only one measure of leadership effectiveness would be incomplete and misleading. Multiple measures of organizational events and change were needed to provide a more complete picture (Bolman & Deal, 1997; Birnbaum, 1992). By reframing events and issues (see Figure 4), this approach offered a leader a way to move beyond a narrow, simplified leadership style that might not be able to accommodate complex situations.

Frame	<u>Effective Leadership</u>		<u>Ineffective Leadership</u>	
	Leader	Process	Leader	Process
Structural	Analyst, architect	Analysis, design	Petty tyrant	Management by detail
Human Resource	Catalyst, servant	Support, Empowerment	Weakling, pushover	Abdication
Political	Advocate, negotiator	Advocacy, coalition building	Con artist, thug	Manipulation fraud
Symbolic	Prophet, Poet	Inspiration, framing Experience	Fanatic, fool	Mirage, smoke and mirrors

Figure 4. Reframing Leadership (Bolman & Deal, 1997, p. 303).

Almost all theories of leadership failed to recognize the context that defined them. Each frame individually was incomplete in providing a whole picture of how organizations functioned and how leaders viewed and responded to events within an organization despite the possibilities presented in each frame. The most effective leaders combined multiple frames in their approach to leadership and found individuals around them to provide leadership where they could not (Bolman & Deal, 1997).

A series of studies have shown that using multiple frames was associated with greater effectiveness for leaders (Bensimon et al., 1989; Birnbaum, 1992; Bolman & Deal, 1992; Bolman & Deal, 2002). Bolman and Deal (1997) found that the "ability to use multiple frames was a consistent correlate of effectiveness. The symbolic and political frames tended to be the primary determinants of effectiveness as a leader" (p. 16-17). Another study found the political frame to be the primary frame for successful managers and executives (Doktor, 1993). Related research studying college presidents found that multi-frame presidents were seen as more effective by institutional constituents than were single-frame presidents. Single-frame presidents tended to be less experienced and used primarily structural and collegial frames. Presidents who used only the structural frame were seen as ineffective leaders (Bensimon, 1989; Bensimon et al., 1989). Presidents also self-identified using more frames than others perceived them using.

The Institutional Leadership Project

There has been little agreement among researchers of higher education as to the extent to which leaders make a difference – especially presidents. Traditional leadership

theories emphasized that the leader's traits or behaviors were critical for organizational success. More recent research has suggested that an organization's structure, culture, and socialization made leaders somewhat interchangeable (Birnbaum, 1992). Birnbaum, Bensimon, Neumann, and associates (in Birnbaum, 1992) conducted an extensive five-year longitudinal study of college and university presidents, the Institutional Leadership Project (ILP); its purpose was to determine how presidents affected the institutions they led. The ILP study used Bolman and Deal's (1997) four-frame conceptualization to analyze how presidents thought about their institutions. The results of the study suggested a modest, although important, role for presidents. The qualitative data, collected through extensive interviews with 32 presidents and other stakeholders on campuses, suggested campus leadership was most effective when multiple frames were used to view events and make decisions, and when leadership was ultimately shared because what was crucial was the agreement reached about the nature of reality within the organization (Birnbaum, 1992). Birnbaum (1992) proposed a definition of good leadership by assessing which characteristics of an institution, what career experiences of presidents, and ways presidents think or conceptualize issues can be related to the success of presidents.

The ILP study was a comprehensive study conducted about college presidents and produced 51 books, monographs, chapters, papers, and research reports. It was conducted under the direction of the National Center for Postsecondary Governance and Finance. It was funded by the Office of Education Research and Improvement (OERI), the Lilly Endowment Foundation, and the Teachers' Insurance and Annuity Association

/College Retirement Equities Fund (TIAA-CREF); and supported by a number of organizations, including ACE, the Association of American Universities (AAU), and the American Association of State Colleges and Universities (Birnbaum, 1992).

How Academic Leadership Works: Understanding Success and Failure in the College Presidency (Birnbaum, 1992) defined leadership as what leaders thought and did and the ways followers thought about leadership. A literature review conducted by Bensimon, Birnbaum, and Neumann (1989) accompanied the final study. It was based on Bass' (1981) review of leadership studies and pointed out the recent various attempts by researchers to understand leadership.

There are studies available supporting both the concepts of the strong leader with certain unique behaviors (Cameron, 1986) and the weak leader who is buffeted by organizational constraints (Birnbaum, 1989). If leadership matters, under what conditions can presidents make a difference in their institutions? One argument strongly suggested that leaders must align their strategies with the institution's culture rather than compete against it (Chaffee & Tierney, 1988). Part of aligning with the culture was arriving at a shared meaning of what was reality within the organization. Birnbaum (1992) identified factors that affected the way leaders actions' were interpreted and understood by others in the organization, particularly moving toward a shared meaning of events.

The ILP study focused on individuals selected to fill the top formal leadership positions in higher education institutions. There was an expectation from others in the organization that the president would exhibit leadership. Presidents were seen to be

effective when others perceived them to be exhibiting good leadership. The perceptions of institutional stakeholders were important to the conclusions in the ILP study (Birnbaum, 1992). The Institutional Leadership Project, after making it clear that defining leadership and finding agreement on how to study it was not a certainty, used open-ended questions in interviews to collect data. Data included asking stakeholders their perceptions of their presidents' operational frames, asking presidents their perceptions of their own frames, and how these frames may have changed with experience (Birnbaum, 1992).

The selection of institutions chosen for interviewing presidents and stakeholders purposefully included the most representative sectors of American higher education. They included the four major Carnegie categories; they did not include the category of Other (Specialized). The selection was also stratified for geographic distribution, enrollment size, urban or rural location, and care was taken to ensure representative numbers of female and minority students (Birnbaum, 1992). The limitations of the study were its small sample size ($n = 32$) and the stratification of other variables that meant results could not be generalized to all higher education institutions. Bensimon, Birnbaum, Neumann, and associates (in Birnbaum, 1992) justified their research on presidents' leadership because of the different modes and methods they used in approaching the subject e.g. a longitudinal approach, looking at multiple leadership roles, the differences between old and new presidents, and by viewing institutions as cultural systems. One key difference was investigating the way presidents thought (in

frames) and not what they did. Yukl (1981) had called for research studying the presidency in a way that the ILP project offered as one alternative (p. 287).

Birnbaum (1992) and others associated with the ILP project identified five myths and three mysteries associated with leadership in higher education. There was, and is, a common belief that all leaders must have a vision for the organization; however, that vision need not, and should not, come from the president but should emerge through the president's interpretation of what stakeholders want at the institution. Leaders who listened to stakeholders and interpreted and championed the vision were more successful than those who forwarded visions of their own (pp. 24-47).

The work of Burns (1978) that identified transactional and transformational leadership has led to a recent belief that leaders must emphasize transformational leadership in order to be successful. Bennis and Nanus (1985) and others have advocated transformational leadership for leaders. However, because the goals and direction of higher education institutions are heavily shaped by their culture, history, and stakeholders, if the presidents were to emphasize transformational leadership, the results could be disastrous (Birnbaum, 1992). Transactional leadership alone is also likely to lead to failure; good presidents identified in the ILP study used both approaches.

Many still believe that leaders who are successful have a certain charisma that gives them a presence that others are willing to follow. However, charisma can lead leaders to narcissism, disdain for information from subordinates, and intolerance for dissent (Bass, 1985). The ILP study could point to only a few instances where charisma was beneficial to the president; most scholars have dismissed charisma as a foundation

for leadership success (Birnbaum, 1992; Hersey et al., 1996). The theories held by followers regarding leadership would be important in establishing whether the leader was credited with charisma (Bass, 1985).

Fisher, Tack, and Wheeler (1984) suggested that good leaders increased their effectiveness by remaining emotionally distant. However, the ILP study did not support this conclusion; in fact, college presidents (who are already removed from most individuals on campuses) who reach out to people on campus were seen as more effective leaders (Birnbaum, 1992; Fujita, 1990). University and college hierarchical structures already distanced presidents from most people on campus.

Early theories of leadership focused on individuals' traits. It was thought individuals possessed the right traits or could be trained to acquire them to become effective leaders. However, the ILP study, and most other leadership studies, had not been able to pinpoint traits successful in all situations. The effectiveness of leaders attributed with certain traits depended on subordinates' expectations and environmental and organizational variables (Fujita, 1990).

The ILP study also looked at leadership teams in higher education. When the President and the Provost were examined as a team at 31 institutions, two types of relationships were identified (Lathrop, 1990). Directive, or formal authoritative relationships, and collaborative, or informal equal relationships, were identified. Presidents in the study assumed that the collaborative relationship would be seen as more effective by faculty. However, collaboration was not related to faculty support (Birnbaum, 1992). Larger teams that consisted of "presidential cabinets" were studied at

13 institutions (Bensimon, 1991). Cabinet members who were involved in campus decision-making were more satisfied, but there was no conclusive proof that either type of cabinet made presidents appear more effective to campus stakeholders (Neumann, 1991).

Another mystery of leadership was determining how much experience was necessary as president to be successful. It had been assumed that the experience gained as a Dean or as a Provost would prove beneficial to presidents (Bensimon et al., 1989). The ILP data did not support this assumption. It is possible that general experience counts for presidents rather than a specific type of experience. Experience was valuable because presidents often had to make decisions intuitively; they had little time to research an issue and therefore made a decision based on the limited data available at the time. Those presidents with experience were more likely to filter out unneeded information and perceive meaningful patterns (Birnbaum, 1992). Bensimon (1987) found that presidents with experience approached a new presidency differently; they made efforts to learn the culture and avoided preconceived ideas about changing the institution. Despite this, experience was only useful when used properly. Some presidents, with years of experience at other institutions, felt they had never made an error, and yet were unable to quickly comprehend a new culture (Birnbaum, 1992). The relationship between experience and presidential effectiveness is not completely understood.

The importance of sex in leadership has been a topic for much study (Eggins, 1997; Leland & Astin, 1999; Touchtone, Shavlik, & Davis, 1991). The ILP study found

no relationships between sex and leadership. Most women have similar leadership frames to men (Leland & Astin, 1999). Some women may have succeeded as leaders because they imitated male leadership behaviors (Magnuson, 2001). In spite of exhibiting stereotypical female behaviors, women were no different than men in the ILP study when effectiveness was measured; however, women were seen differently. Female presidents' leadership was questioned more frequently by stakeholders on campus (Birnbaum, 1992; Magnuson, 2001). The small number of female college presidents that exist today is a reflection of the struggle women have faced when moving into leadership roles in higher education (Ross & Green, 2000).

Assessing effective presidential leadership has always been problematic. Studies of presidential leadership have shown three methods of identifying successful leadership: the judgment of experts in the field, recognition by presidential peers, and self-assessment by presidents (Birnbaum, 1992). The evaluation of leadership by experts is often found in case studies of unique institutions where the president has been very successful or a conspicuous failure; these studies are usually approached historically (Cohen & March, 1974; Keller, 1983). The flaw in this approach was that experts' judgments were almost always made in retrospect and rarely did they provide criteria that could be used to make other assessments (Birnbaum, 1992).

The assessment of presidents by peers had been conducted in several studies (Fisher, Tack, & Wheeler, 1988; Kerr, 1985). It would appear presidents were well qualified to assess each other, but a president's job was often done in isolation and peers would have had little, if any, opportunity to observe another president at work. Their

assessments would be based on symbolic factors – the lists of best presidents were almost always closely correlated to the lists of best universities and colleges. This suggested that visibility and reputation were as important as actual effectiveness (Birnbaum, 1992).

Presidents were often asked to evaluate their own leadership behaviors and effectiveness (Cohen & March, 1974; Fisher, Tack, & Wheeler, 1988). The biggest danger with this approach was that presidents, like most leaders, rated themselves as more effective than the average president and much more effective than their predecessor (Birnbaum, 1986). Almost all ILP presidents considered themselves good leaders. Yet, their self-described traits and behaviors were not identified by those who worked for them. Discrepancies between self-assessment and assessment by others suggested self-assessments were biased in favor of the individual (Birnbaum, 1992).

There is not one way to evaluate leadership that has been accepted to be completely reliable and valid. A large part of the ILP study was assessing the support and satisfaction of campus constituents (faculty, staff, and trustees) with a president's leadership. One way to assess effectiveness, when there were no objective criteria, was to determine the satisfaction and support of followers. This method did not require determining goals and criteria for effectiveness (Birnbaum, 1992). The ILP study determined that, because staff and trustee support for the presidents involved was so uniformly high as to negate statistical differences, the key was faculty support (Bensimon, 1989; Birnbaum, 1992). The ILP study also included sex, length of term in

office, and previous experience, to assess whether these variables would impact the results (Birnbaum, 1992).

The ILP study sought to discover the cognitive frames presidents used to understand their organizations (Bolman & Deal, 1997), the strategy that they used to make decisions (Chaffee, 1985), and the implicit leadership theories they held. Presidents using single frames to understand their institutions were seen as ineffective, particularly if it was the structural/bureaucratic frame. Those presidents with little support from faculty were identified as autocratic and lacking concern for people. New presidents were supported and seen as more effective by faculty than experienced presidents (Birnbaum, 1992).

The study summarized the styles presidents used in three ways: modal, having initial faculty support, being technically proficient, but over time, seen as lacking the ability to effect change on campus; failed, lacking the ability to run the university efficiently or provide symbolic interpretations of events for constituents; and exemplary, stressing existing values, giving equal time to relationships and tasks, and collaborating with faculty on governance issues (Birnbaum, 1992). Exemplary presidents used multiple frames to understand their institutions. Failed presidents used a bureaucratic frame and a linear strategy to make decisions.

The ILP study identified four organizational factors that impacted upon presidents' leadership effectiveness that affected the way people interpreted reality in the organization. Culture and history created patterns of perception (Schein, 1985) and caused the organization to be predisposed to certain kinds of leadership. What had been

done in the past affected what could be done in the future. Presidential succession cycles were key because the selection and inauguration of a new president symbolized improvement and renewal as seen by constituents. It provided new presidents with the opportunity to emphasize values and make changes that would be supported (Birnbaum, 1992). Two structural considerations – faculty unions and membership in an institutional system – could reduce faculty support for a president. System governance was often seen as blocking opportunities for a president to make decisions that would benefit the campus. Negotiations often meant relationships with the president were adversarial. Finally, self-reinforcing processes, beliefs, and culture made it difficult to enact change because constituents believed there were certain ways of doing things (Birnbaum, 1992).

“The findings of the ILP suggested ten principles of good academic leadership that could be offered to presidents with some confidence” (Birnbaum, 1992, p. 172):

1. Making a good first impression;
2. Ensuring the selection process is seen as legitimate;
3. Initial actions (such as visiting campus frequently before starting, meeting with as many constituents as possible, and examining all critical institution documents);
4. Listen with respect and be open to influence;
5. Find a balance for governance;
6. Avoid simple thinking (by using only one frame);
7. Don't emphasize the bureaucratic frame;

8. Emphasize strong values;
9. Focus on institutional strengths;
10. And encourage leadership by others. (Birnbaum, 1992, pp. 172-187)

The authors of the ILP study concluded that one quarter of college presidents were exemplary, one quarter were failed presidents, and one half of all presidents were modal presidents. It would appear the goal would be to have more exemplary presidents. The suggestions outlined above were a starting point for modal presidents to become more effective. Because effective presidential leadership was situation dependent, the success of colleges and universities may not be as dependent upon presidents as once was thought. College presidents could become marginally more effective, but any hope of implementing major changes to make a difference on campuses would probably result in disappointment (Birnbaum, 1992).

Summary

Based on the literature, there was little consensus about how to determine what constituted the best leadership style or approach. Leadership theory currently leans toward a transformational or situational approach, but there was still an emphasis on individuals having certain characteristics that helped to ensure success. Studies of presidential leadership have also been inconclusive. However, the ILP project offers some interesting conclusions that were the groundwork for conducting further studies. It suggested that presidents could have an impact on an institution by following some general guidelines and downplaying one's own importance in moving the institution toward greater success. Presidents' career experiences, that impacted their leadership as

president, and determined how they perceived their own leadership style, could help researchers, institutions, boards, and educational leadership departments learn more about which leaders of higher educational institutions would be successful in which situations.

The ILP project collected in-depth data through extensive interviewing of presidents and stakeholders at 32 institutions. The following study adds to the Institutional Leadership Project by collecting similar data on a national scale. The survey sought responses from presidents across the U.S.; 308 presidents' responses were used as data to draw conclusions to the research questions that guided this study.

CHAPTER III

RESEARCH METHODOLOGY

The research methods used for data collection and analysis for the study are described in this chapter. A quantitative research design was used to understand the research data collected. (Borg, Gall, & Gall, 1996). The purpose of this study was to determine if there were relationships between presidents' demographic background variables, their career paths and previous leadership positions, and their current leadership operational framework(s) from which they make decisions and lead their institutions. The link of demographic variables and career paths to presidents with specific operational frameworks at identified institutions could provide valuable insights into presidents' leadership. This information could then be the basis for further studies on successful and unsuccessful leaders at institutions to find good matches; data from this study could provide key indicators by identifying presidents with certain dominant frames at institutions that are judged to be successful.

The following research questions guide the study:

1. What are college and university presidents' self-perceptions of the most common framework(s) from which they operate and make decisions?
2. Are presidents more likely to operate from two or more frames?
3. What, if any, relationship is there between sex and/or race and/or age and the frame from which a president most commonly operates and makes decisions?

4. Which types (i.e. sex, age, race) of presidents operate from which of the four frames when making decisions?
5. What is the relationship between past career experience and the frame(s) presidents of universities and colleges use to make decisions in their current positions?
6. What, if any, is the relationship between past career experience in leadership positions and participants' current positions as presidents of universities or colleges?

Population

The population in this study was composed of current presidents of institutions of higher education across the U.S. The sample was randomly chosen from a comprehensive mailing list (last updated in February, 2001) of higher education institutions provided by the American Council of Education (ACE). There are approximately 3,900 institutions throughout the U.S. The list was stratified to ensure representative institutional numbers in each of the five major Carnegie classifications noted earlier that grant degrees, diplomas, and certificates. A random sampling of approximately 1000 was identified through mailing ZIP codes and institutional type to ensure a representative national sample.

Instrument

The instrument used for this study was adapted from a questionnaire instrument developed by Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992, pp. 199-202). This instrument was used in a much larger five-year study conducted by the Institutional Leadership Project to determine "how college and university presidents and other leaders interact and communicate, assess their own and others' effectiveness, establish goals, learn, transmit values, and make sense of the complex and dynamic organizations in which they

work” (Birnbaum, 1992, p. xii). The larger study collected the comments of institutional leaders and organized the interview data by using qualitative research analyses that were able to provide categories for the purpose of quantitative analysis. The study gave attention to how presidents frame their understanding of their institutions and their own performance. Findings were collected to try to understand “five leadership myths about transformation, vision, charisma, distance, and personal style” (Birnbaum, 1992, p. xiv). Relationships between presidents and constituents on campus were considered as well as how faculty assessed presidents and the relationship they had with their presidents.

The interview protocol for the ILP items were modified for the purposes of this study to elicit responses from participants in the form of a Likert scale that was totaled, and a mean was determined for each president’s dominant (not single) operational framework and their other three frames. The four operational frameworks are: structural, collegial, political, and symbolic. The Institutional Leadership Project found that a majority of participants operated from two or three frames on a regular basis (Bensimon et al., 1989).

The instrument for this study consists of four sections (see Appendix D). The survey asked 10 questions regarding the participants’ backgrounds, goals, values, leadership, identifying leaders, leader effectiveness, critical incidents, and their institution’s future as they saw it (Birnbaum, 1992, pp. 199-202). A demographic portion accompanied the survey instrument portion (see Appendix D). Section One (questions 1-3) asked participants about their age, sex, and race. Section Two asked participants to identify the type of institution at which they are currently president. Section Three asked participants to identify (on a grid) their career experience in formal leadership positions in higher

education and other career experience. Section Four consists of 10 questions (identifying 40 potential responses) that indicate a participant's dominant frame. Participants responded to four scenarios in each question by indicating from most likely to most unlikely how they would act or react to each scenario. A final opportunity was provided at the end of the survey to offer any additional comments.

A staff member of the Bureau of Educational Research entered data into the computer using SPSS software. This researcher then examined the data for interpretation and analysis. All scored and summed responses (and their means) indicated a dominant operational framework(s) for each participant. Categories of variables such as participants' demographics, previous career leadership positions, and current institutions were examined to determine which variables discriminated for which leadership frames.

The modified instrument was limited by this researcher's ability to adapt interview questions to a survey model. A pilot study (sent to 10 college presidents) on the survey was conducted to improve the validity and reliability of the instrument. Appropriate alterations were made based on the suggestions of the pilot study participants.

Data Collection

Participants were sent a survey, after approval by the Institutional Review Board, from the Bureau of Educational Research at the University of North Dakota. A cover letter explained the study and sought informed consent from participants for their participation. The survey, in the form of a pamphlet mail-out that was pre-addressed to the researcher, was sent directly to all selected presidents inviting them to participate. Each survey was given a three or four digit code corresponding to a participant's name. All information that

identified participants was anonymous to the primary researcher, as the survey was mailed by the Bureau, and all codes were destroyed once all surveys had been collected.

Data Analysis

Each president who responded to the survey answered 10 questions indicating a dominant operational framework(s) from which they operated, made decisions, and understood the culture of their organization. Using the statistical software package SPSS/PC, scores were calculated for each of the participants to indicate a dominant framework(s). A cutoff score (using the mean) was determined to ensure a minimum score for determining a dominant framework(s) for each participant; these results addressed the first and second research questions that guided the study: What are college and university presidents' self-perceptions of the most common framework(s) from which they operate and make decisions? Are presidents more likely to operate from two or more frames?

Once participants were identified as operating from symbolic, collegial, political, or bureaucratic frameworks, the discriminating variables identified (demographics, institutional type, and previous leadership positions) were used to determine the degree to which participants from each framework could be differentiated. The discriminator variables of age, sex, and race were used to identify frequencies related to the four frameworks. These frequencies addressed research question three: What, if any, relationship is there between sex and/or race and/or age and the frame from which a president most commonly operates and makes decisions? The same discriminator variables were then used to identify frequencies related to the rankings of the presidents' four operational frameworks from which they made decisions and viewed their institutions.

These frequencies addressed research question four: Which types (i.e. sex, age, race) of presidents operate from which of the four frames when making decisions? Linear regressions were then run to determine the relationship of previous career experience for all presidents to their dominant frame. These linear regression equations addressed research question five: What is the relationship between past career experience and the frame(s) presidents of universities and colleges use to make decisions in their current positions? Finally, the various career experience discriminator variables of each president to her current institution were then used to identify frequencies for possible relationships. These frequencies were used to address research question six: What, if any, is the relationship between past career experience in leadership positions and participants' current positions as presidents of universities or colleges?

Ethical Guidelines

All ethical considerations were adhered to according to guidelines set out by the University of North Dakota's Graduate School and the Institutional Research Board. All participants were afforded both anonymity and respect; all references to specific participants in surveys and researcher's notes were removed. Participants were clearly informed of the objectives of the study. They were informed that their completion and return of the survey implied consent, and that they were able to withdraw at any time. Finally, all data are being securely stored according to the university's Graduate School and IRB guidelines for a period of not less than three years.

Summary

This chapter outlined the research strategy and methodology that was used for data collection and analysis. Procedures for trustworthiness and research ethics were also outlined. Quantitative research methods were used to analyze the frames of the participants and the relationship of discriminator variables to those frames. The findings are presented in Chapter IV.

CHAPTER IV

FINDINGS

The findings of the data analysis for this study are presented here in this chapter. Response rates and demographic profiles from the data are presented first. Subsequent findings from the data are then presented in relation to the six research questions that guided the study. The purpose of the study was to determine the leadership frames of college and university presidents in the U.S and the relationship of previous career experiences to the presidents' leadership frames. The relationship between previous career experience and the presidents' institutions they currently lead was also examined. Statistical significance for this study was set at the .05 level. For the purpose of this study, it was assumed that presidents would answer truthfully when their dominant leadership frame(s) through question responses were identified. It was also assumed that by identifying presidents' leadership frames, conclusions about their leadership styles could be drawn from such data.

Demographic Profile

A total of 1,000 surveys were mailed to selected college and university presidents throughout the U.S. Of the 1,000 surveys mailed, 311 were returned. The overall response rate was 31%. Of those, three were removed due to missing responses (n=308).

The majority of those surveyed (69%) did not respond. The population sampled has historically not been known for high response rates for surveys. These individuals

are extremely busy and are presented with numerous surveys in their roles as leaders in higher education. It is also possible that some individuals did not respond because they felt the survey was possibly gender-biased, or that they did not find themselves represented among the demographic options to choose from in the survey. It is also possible a higher response rate could have been obtained by a more prestigious institution or organization that is better known for such surveys. The data were also visually inspected to ensure accuracy (George & Mallory, 2001). Participants were asked to identify their institutional types by choosing from one of five categories adapted from the Carnegie Foundation's classification system. The response rate by institutional type is listed in Table 1.

Table 1 shows the response rate for the study. There were 308 presidents who chose to participate (with usable surveys) with 84 presidents of Masters' (27%) and 81 Baccalaureate (26%) institutions responding in the greatest numbers. Presidents of 50 doctoral/research (16%) institutions, 46 Associate (15%) institutions and 17 Other (6%) institutions chose to respond. Thirty presidents (10%) chose not to identify their institutional type. According to the Carnegie Foundation for the Advancement of Teaching (Carnegie Foundation, 2000), the percentage of institutions by classification in the U.S is as follows: Doctoral/Research (7%), Master's (16%), Baccalaureate (15%), Associate (42%), and Other (20%). There is a significant under-representation of Associate and Other institutions in the study when compared to national figures.

In addition to the survey, participants were asked to complete a series of questions that created a demographic profile of the participants. Participants were asked to identify

Table 1

Presidents' Response Rate by Institutional Type

Institution Type	Surveys		Response Rate
	Sent	Returned	
Doctoral/Research	200	50	25%
Master's	200	84	42%
Baccalaureate	200	81	41%
Associate	200	46	23%
Other	200	17	8%
Total	1000	278	28%
Did not identify		30	3%
Total	1000	308	31%

* all percentages have been rounded to the closest whole number.

their age, sex, and race which is provided in Tables 2 through 7. Table 2 indicates the aggregate ages of all participants. The largest percentage of presidents was between the ages of 51 to 60 (58%). Those presidents between the ages of 51 to 60 (58%) and ages 61 to 70 (28%) comprised 86% of all presidents in the study. Two presidents chose not to identify their age. According to national data collected by the American Council on Education in 1998, the ages of college presidents were as follows: 31-40 (0.6%), 41-50 (10.7%), 51-60 (58%), 61-70 (29.1%), and over 70 (1.7%)(Ross & Green, 2000). The age demographic for the sample closely mirrored that of the national data.

Table 2

Age of Presidents

Age	Frequency	Percentage
30-40	9	3%
41-50	30	10%
51-60	177	58%
61-70	87	28%
>70	3	1%
Total	306	99%
Did not identify	2	1%
Total	308	100%

* all percentages have been rounded to the closest whole number.

Table 3 indicates the sex of all participants in the study. There were 245 (80%) male presidents and 52 (17%) female presidents. Eleven presidents (4%) chose not to identify their sex. According to national data collected by the American Council on Education in 1998, the sex of college presidents was as follows: males (80.7%) and females (19.3%) (Ross & Green, 2000). The sex demographic for the sample closely mirrored that of the national data.

Table 4 identifies the race of all participants. The majority of presidents (81%) were Caucasian. The percentages for African-American (4%), Hispanic (3%), and Asian/Pacific Islander (1%) presidents were low. A significant number of presidents, 38

Table 3

Sex of Presidents

Sex	Frequency	Percentage
Female	52	17%
Male	245	80%
Did not identify	11	4%
Total	308	100%

* all percentages have been rounded to the closest whole number.

Table 4

Race of Presidents

Race	Frequency	Percentage
African-American	15	5%
Hispanic	9	3%
Asian/Pacific Islander	2	1%
Caucasian	248	81%
Other	34	11%
Total	308	100%

* all percentages have been rounded to the closest whole number.

(12%), chose not to identify their race for this study. The choices for racial grouping were determined by identifying the four largest racial groups in the most recent U.S Census and by the limitations of space in the survey. According to national data

collected by the American Council on Education in 1998, the races of college presidents were as follows: Asian (0.9%), Hispanic (3.2%), Black (6.3%), and White (88.7%)(Ross & Green, 2000). The ACE study also included Native Americans (0.9%) but made no allowance for a choice other than the five identified. The race demographic for the sample closely mirrored that of the national data.

Table 5 used cross-tabs to identify presidents' institutional types in relation to their ages. Presidents between the ages of 51 to 60 (52%) and 61 to 70 (42%) comprised 94% of the Doctoral/Research institution presidents. Presidents ages 51 to 60 (58%) and 61 to 70 (30%) comprised 88% of all master's institution presidents. Presidents ages 51 to 60 (59%) and 61 to 70 (28%) comprised 87% of all Associate institution presidents. The number of presidents ages 51 to 60 (56%) and 61 to 70 (19%) who lead Baccalaureate institutions were somewhat smaller (75%) while a significant number (16%) were ages 41 to 50 and a few (6%) were under age 41. All presidents of Other institutions were ages 51 to 60 (77%) and 61 to 70 (24%) years of age. Thirty presidents in the study chose not to identify the type of institution they lead.

Table 6 used cross-tabs to identify presidents by sex and by institutional type. Male presidents led 80% of the Doctoral/Research institutions, 85% of the Master's institutions, 80% of the Baccalaureate institutions, 74% of the Associate institutions, and 88% of the Other institutions. Female presidents led 16% of the Doctoral/Research institutions, 14% of all the Master's institutions, 16% of the Baccalaureate institutions, 20% of all the Associate institutions, and 12% of the Other institutions. Nine presidents (3%) chose not to identify their sex.

Table 5

Presidents' Ages by Institutional Type

Institutional Type	Age					Did not give age
	30-40	41-50	51-60	61-70	>70	
Doctoral/Research	1 (2%)	2 (4%)	26 (52%)	21 (42%)	0	0
Master's	1 (1%)	9 (11%)	49 (58%)	25 (30%)	0	0
Baccalaureate	5 (6%)	13 (16%)	45 (56%)	15 (19%)	2 (3%)	1 (1%)
Associate	2 (4%)	3 (7%)	27 (59%)	13 (28%)	1 (2%)	0
Other	0	0	13 (77%)	4 (24%)	0	0
Total	9 (3%)	27 (10%)	160 (57%)	78 (28%)	3 (1%)	1 (1%)

* all percentages have been rounded to the closest whole number.

Table 6

Presidents' Sex by Institutional Type

Institutional Type	Sex		Did not identify sex
	Female	Male	
Doctoral/Research	8 (16%)	40 (80%)	2 (4%)
Master's	12 (14%)	71 (85%)	1 (1%)
Baccalaureate	13 (16%)	65 (80%)	3 (4%)
Associate	9 (20%)	34 (74%)	3 (7%)
Other	2 (12%)	15 (88%)	0
Total	44 (16%)	225 (81%)	9 (3%)

* all percentages have been rounded to the closest whole number.

Table 7 used cross-tabs to identify presidents by race and institutional type. Caucasian presidents comprised 92% of presidents at Doctoral/Research institutions, 87% of presidents at Master's institutions, 91% of presidents at Baccalaureate institutions, 85% of presidents at Associate institutions, and 95% of presidents at Other institutions.

Table 7

Presidents' Race by Institutional Type

Institutional Type	Race				
	African American	Hispanic	Asian/Pacific Islander	Caucasian	Other
Doctoral/Research	0	3 (6%)	0	46 (92%)	1 (2%)
Master's	4 (5%)	4 (5%)	1 (1%)	73 (87%)	2 (2%)
Baccalaureate	6 (7%)	0	0	74 (91%)	1 (1%)
Associate	0	2 (4%)	1 (2%)	39 (85%)	4 (9%)
Other	1 (6%)	0	0	16 (95%)	0
Total	11 (4%)	9 (3%)	2 (1%)	248 (89%)	8 (3%)

* all percentages have been rounded to the closest whole number.

There were no African-American presidents identified at either Doctoral/Research institutions or at Associate institutions. There were no Hispanic presidents identified at Baccalaureate or Other institutions. There were no Asian/Pacific Islander presidents identified at Doctoral/Research institutions, Baccalaureate institutions, or at Other institutions. Minority presidents were identified at 11% of all Master's institutions. Eight presidents (3%) chose not to identify their race.

Research Questions

The first research question sought to determine the presidents' most common dominant framework from which they operate and make decisions. The survey sought responses to 10 questions (see Appendix D- Section Four of the survey) to answer the first research question. Presidents were asked to answer all of the questions by choosing from five responses ranked from "very likely" to "very unlikely." The response scores were summed and a mean determined; the scores indicated for each president a ranking of the dominant frame from which they operated.

Table 8

Operational Leadership Frames of College and University Presidents

	Symbolic Frame	Collegial Frame	Political Frame	Structural Frame
1st choice	137 (45%)	58 (19%)	91 (30%)	66 (21%)
2nd choice	88 (29%)	63 (21%)	93 (30%)	86 (28%)
3rd choice	46 (15%)	93 (30%)	74 (24%)	75 (24%)
4th choice	37 (12%)	94 (31%)	50 (16%)	81 (26%)
Total	308 (100%)	308 (100%)	308 (100%)	308 (100%)

* all percentages have been rounded to the closest whole number.

In Table 8, the dominant frame that most presidents were found to operate from was the symbolic frame (45%). The second most frequent dominant frame for presidents was the political frame (30%). The symbolic frame was the first or second choice of 74% of all presidents, and the political frame was the first or second choice of 60% of all

presidents. The structural frame (49%) and the collegial frame (40%) were third and fourth, respectively as first or second choices among presidents.

The second research question asked if presidents were more likely to operate from two or more frames. The data for answering the second research question come from Section Four of the survey. A frequencies analysis indicated the score for each of the four operational frameworks for the presidents that fell above and below the mean score for that frame. In Table 9, those frequencies indicate which presidents operate from a single frame, two frames, three frames, or all four frames when making decisions.

Forty-seven (15%) presidents were found to have no dominant frame when compared against the group mean. There were 69 presidents who were found to operate from one frame when compared against the group mean. A total of 66 presidents were found to have two frames from which they operate and make decisions when compared against the group mean. Sixty presidents were found to operate from three frames when compared against the group mean. Of those, 27 operate from the symbolic/political/structural frames. Sixty-six (21%) presidents operate from all four frames, compared against the mean, when making decisions.

The third research question sought to determine if there were any relationships between the variables of age and/or sex and/or race and the dominant frame from which a president commonly operates and makes decisions. Data for this question come from Sections One and Four of the survey. Frequencies analyses indicated the relationship of the presidents' ages, sex, and race (by category) to the presidents' dominant operational frame. The analyses are presented in Tables 10, 11, and 12.

Table 9

Observed Frequencies and Percentages of Presidents' Dominant Operational Frames as Indicated Above the Mean

Operational Frame	Frequency	Percent
No dominant frame	47	15%
Symbolic	22	7%
Collegial	12	4%
Political	25	8%
Structural	10	3%
Structural/Political	17	6%
Structural/Collegial	6	2%
Political/Collegial	10	3%
Symbolic/Structural	8	3%
Symbolic/Political	17	6%
Symbolic/Collegial	8	3%
Political/Collegial/Structural	7	2%
Symbolic/Political/Structural	27	9%
Symbolic/Collegial/Structural	7	2%
Symbolic/Collegial/Political	19	6%
Symbolic/Collegial/Political/Structural	66	21%
Total	308	100%

* all percentages have been rounded to the closest whole number.

To answer the third research question, a frequencies' analysis indicated the relationship of the presidents' ages to the presidents' dominant operational frame. In Table 10, presidents ages 31 to 40 (33%), 41 to 50 (33%), 51 to 60 (35%), 61 to 70 (37%), and those over age 70 (67%) all were identified with the symbolic frame as their most common dominant frame. The political frame was the second choice of three groups: presidents ages 31 to 40 (22%), 51 to 60 (25%), and 61 to 70 (23%). Presidents ages 31 to 40 (22%) and ages 41 to 50 (20%) were identified with the structural frame as their second most common operational frame. The collegial frame was identified as the third choice of presidents ages 41 to 50 (17%) and ages 61 to 70 (14%) and the fourth choice of presidents ages 31 to 40 (11%) and ages 51 to 60 (13%). A small percentage of presidents in each age category were identified with two or more frames as equally dominant when making decisions: presidents ages 31 to 40 (11%), ages 41 to 50 (17%), ages 51 to 60 (11%), ages 61 to 70 (14%), and over the age of 70 (33%).

In Table 10, none of the differences were significant at the .05 level. The Pearson chi-square test = 10.90, with a $df = 20$, resulted in a p -value of .949. There was no difference in the choice of dominant operational frame by college presidents related to age.

To answer the third research question, a frequencies' analysis indicated the relationship of the presidents' sex to the presidents' dominant operational frames. In Table 11, the largest number of males (37%) and females (27%) were identified with the symbolic frame as their dominant frame. The political frame was identified as their dominant frame by 25% of females and 23% of males. A small percentage of women.

Table 10

Observed Frequencies and Percentages of Presidents' Dominant Operational Frame by Age

Age	Dominant Frame					Total
	Symbolic	Collegial	Political	Structural	Two or more	
Did not identify	2 (100%)	0	0	0	0	2
31-40	3 (33%)	1 (11%)	2 (22%)	2 (22%)	1 (11%)	9
41-50	10 (33%)	5 (17%)	4 (13%)	6 (20%)	5 (17%)	30
51-60	62 (35%)	23 (13%)	45 (25%)	27 (15%)	20 (11%)	177
61-70	32 (37%)	12 (14%)	20 (23%)	11 (13%)	12 (14%)	87
>70	2 (67%)	0	0	0	1 (33%)	3

* all percentages have been rounded to the closest whole number.

(19%) and men (11%) were identified with two or more frames as being equally dominant when making decisions. A total of 11 presidents chose not to identify their sex

In Table 11, none of the differences were significant at the .01 level. The Pearson chi-square test = 9.99, with a $df = 8$, resulted in a p -value of .266. There was no difference in the choice of dominant operational frame by college presidents related to sex.

To answer the third research question, a frequencies' analysis indicated the relationship of the presidents' race (by category) to the presidents' dominant operational frame. In Table 12, Minority is a collapsed group including African-American, Hispanic,

Table 11

Observed Frequencies and Percentages of Presidents' Dominant Operational Frame by Sex

Sex	Dominant Frame					Total
	Symbolic	Collegial	Political	Structural	Two or more	
Did not identify	6 (55%)	0	1 (9%)	3 (27%)	1 (9%)	11
Female	14 (27%)	5 (10%)	13 (25%)	10 (19%)	10 (19%)	52
Male	91 (37%)	36 (15%)	57 (23%)	33 (14%)	28 (11%)	245

* all percentages have been rounded to the closest whole number.

and Asian/Pacific Islander to provide a number large enough to run statistical tests with some reliability and validity. The largest percentage of Caucasians (35%), Minorities (36%), and Other (35%) were identified with the symbolic frame as their dominant frame. The political frame was identified as the dominant frame for 15% of Minority, 22% of Caucasian, and 35% of Other presidents. The collegial frame was identified as the dominant frame for only 7% of Minority, 16% of Caucasian, and none of Other presidents. A small percentage of Caucasian (12%) and Other (9%) presidents were identified with two or more frames as being equally dominant when making decisions. A larger percentage of Minority (27%) presidents were identified with two or more frames as being equally dominant when making decisions.

In Table 12, none of the differences were significant at the .05 level. The Pearson chi-square test = 7.54, with a $df = 4$, resulted in a p -value of .110. There was no difference in the choice of dominant operational frame by college presidents related to race.

Table 12

Observed Frequencies and Percentages of Presidents' Dominant Operational Frame by Race

Race	Dominant Frame					Total
	Symbolic	Collegial	Political	Structural	Two or more	
Minority	9 (35%)	2 (7%)	4 (15%)	4 (15%)	7 (27%)	26
Caucasian	90 (36%)	39 (16%)	55 (22%)	35 (14%)	29 (12%)	248
Other	12 (35%)	0	12 (35%)	7 (21%)	3 (9%)	34

* all percentages have been rounded to the closest whole number.

The fourth research question sought to determine how different types of presidents, according to age, sex, and race, rank each of the four frames when making decisions. Data for this question came from Sections One and Four of the survey. A frequencies' analysis indicated the ranking of frames for presidents according to age, sex, and race.

In Table 13, a frequencies' analysis indicated the ranking of frames for presidents according to age. The frame identified as chosen most frequently by presidents of all age categories was the symbolic frame. Over 40% of all presidents in each age category were identified with the symbolic frame as their dominant frame. The political frame was identified as being the dominant frame by over 30% of presidents of all age categories, except those ages 41 to 50 (20%). Presidents ages 31 to 40 (66%), 41 to 50 (80%), 51 to 60 (71%), and 61 to 70 (74%) were identified with the symbolic frame as their first and

Table 13

Observed Frequencies and Percentages of Ranking of Presidents' Operational Frames by
Age

Rank of Frame By President	Age					Did not identify
	31-40	41-50	151-60	61-70	>70	
Symbolic						
1st	4 (44%)	14 (47%)	74 (42%)	40 (46%)	3 (100%)	2 (100%)
2nd	2 (22%)	10 (33%)	52(29%)	24 (28%)	0	0
3rd	2 (22%)	2 (22%)	30 (17%)	12 (14%)	0	0
4th	1 (11%)	4 (13%)	21 (12%)	11 (13%)	0	0
Collegial						
1st	1 (11%)	8 (27%)	29 (16%)	19 (22%)	0	1 (50%)
2nd	3 (33%)	3 (10%)	37 (21%)	18 (21%)	2 (67%)	0
3rd	2 (22%)	8 (27%)	58 (33%)	25 (29%)	0	0
4th	3 (33%)	11 (37%)	53 (30%)	25 (29%)	1 (33%)	1 (50%)
Political						
1st	3 (33%)	6 (20%)	55 (31%)	27 (31%)	0	0
2nd	1 (11%)	11 (37%)	54 (31%)	26 (30%)	0	1 (50%)
3rd	3 (33%)	6(20%)	42 (24%)	20 (23%)	2 (67%)	1 (50%)
4th	2 (22%)	7 (23%)	26 (15%)	14 (16%)	1 (33%)	0
Structural						
1st	2 (22%)	8 (27%)	40 (23%)	15 (17%)	1 (33%)	0
2nd	2 (22%)	9 (30%)	47 (27%)	26 (30%)	0	2 (100%)
3rd	2 (22%)	10 (33%)	43 (24%)	19 (22%)	1 (33%)	0
4th	3 (33%)	3 (10%)	47 (27%)	27 (31%)	1 (33%)	0

* all percentages have been rounded to the closest whole number.

second choice of operating frame. Presidents ages 51 to 60 (62%) and 61 to 70 (61%) were identified with the political frame as their first and second choice of operating frame. Presidents ages 31 to 40 (44%) and ages 41 to 50 (57%) were equally identified with the political and structural frames as their first and second choice of operating frame. The collegial frame was identified as ranked third or fourth by all presidents as their dominant frame except those presidents ages 41 to 50.

In Table 14, a frequencies analysis indicated the ranking of frames for presidents according to sex. Both male and female presidents' four frames were ranked in the same order when a dominant frame was identified. The symbolic frame was identified as ranked first by more male (45%) and female (40%) presidents than any other frame. It was also identified as ranked as the first and second frame by a large percentage of male (76%) and female (63%) presidents. The political frame was identified as ranked second by both male (29%) and female (35%) presidents as a dominant frame. The collegial frame was identified as ranked fourth by both male (19%) and female (19%) presidents as their dominant frame; it was also identified as ranked third and fourth by a large percentage of male (62%) and female (60%) presidents.

In Table 15, a frequencies analysis indicated the ranking of frames for presidents according to race. Minority is a collapsed group including African-American, Hispanic, and Asian/Pacific Islander. The symbolic frame was identified as ranked first by more Minority (58%) and Caucasian (44%) presidents than any other frame. It was also identified as ranked first and second by a large percentage of Minority (89%) and Caucasian (71%) presidents. Other (44%) presidents were identified as ranking the

Table 14

Observed Frequencies and Percentages of Ranking of Presidents' Operational Frames by Sex

Rank of Frame By President	Sex		
	Male	Female	Did not identify
Symbolic			
1st	109 (45%)	21 (40%)	7 (64%)
2nd	75 (31%)	12 (23%)	1 (9%)
3rd	32 (13%)	13 (25%)	1 (9%)
4th	29 (12%)	6 (12%)	2 (18%)
Collegial			
1st	47 (19%)	10 (19%)	1 (9%)
2nd	48 (20%)	11 (21%)	4 (36%)
3rd	75 (31%)	15 (29%)	3 (27%)
4th	75 (31%)	16 (31%)	3 (27%)
Political			
1st	72 (29%)	18 (35%)	1 (9%)
2nd	74 (30%)	14 (27%)	5 (46%)
3rd	58 (24%)	12 (23%)	4 (36%)
4th	41 (17%)	8 (15%)	1 (9%)
Structural			
1st	47 (19%)	15 (29%)	4 (36%)
2nd	68 (28%)	4 (27%)	4 (36%)
3rd	66 (27%)	9 (17%)	0 (0%)
4th	64 (26%)	14 (27%)	3 (27%)

* all percentages have been rounded to the closest whole number.

Table 15

Observed Frequencies and Percentages of Ranking of Presidents' Operational Frames by Race

President's Frame By Rank	Race		
	Minority	Caucasian	Other
Symbolic			
1st	15 (58%)	109 (44%)	13 (38%)
2nd	8 (31%)	68 (27%)	12 (35%)
3rd	2 (8%)	38 (15%)	6 (18%)
4th	1 (4%)	33 (13%)	3 (9%)
Collegial			
1st	5 (19%)	50 (20%)	3 (9%)
2nd	4 (15%)	49 (20%)	10 (29%)
3rd	9 (35%)	72 (29%)	12 (35%)
4th	8 (31%)	77 (31%)	9 (27%)
Political			
1st	7 (27%)	69 (28%)	15 (44%)
2nd	5 (19%)	83 (34%)	5 (15%)
3rd	8 (31%)	60 (24%)	6 (18%)
4th	6 (23%)	36 (15%)	8 (24%)
Structural			
1st	9 (35%)	50 (20%)	7 (21%)
2nd	8 (31%)	64 (26%)	14 (41%)
3rd	4 (15%)	64 (26%)	7 (21%)
4th	5 (19%)	70 (28%)	6 (18%)

* all percentages have been rounded to the closest whole number.

political frame first but only 15% ranked it second. The symbolic frame was identified as ranked first and second by 73% of Other presidents. The political frame was identified as the second most common choice for Caucasian (28%) presidents as a dominant frame but Minority presidents were identified with the structural frame (35%) as their second most common choice. The political frame was identified as ranked first and second by a large percentage of Caucasian (62%) presidents while the structural frame was identified as ranked first and second by a large percentage (66%) of Minority presidents. None of these rankings were found to be statistically significant when Pearson chi-square tests were conducted.

The fifth research question sought to determine if there were relationships between the variable of years of experience in previous positions inside and outside of academe for presidents and the dominant frame from which they commonly operate and make decisions. The source of information for this question was Sections Three and Four of the survey. Several variables were reviewed for their relationship with a president's dominant operational frame. Linear regressions were used to compare the four frames of presidents with career experience variables in Tables 16 through 19.

In Table 16, the career experience variables were not found to be a significant predictor for presidents identified with a symbolic dominant frame ($R^2 = .309$, $F = .965$, $p = .474$). In Table 17, the career experience variables were not found to be a significant predictor for presidents identified with a collegial dominant frame ($R^2 = .233$, $F = .936$, $p = .500$). In Table 18, the career experience variables were not found to be a significant

Table 16

Linear Regression for Independent Variable of Years of Experience for Presidents with Symbolic Dominant Frames

Experience	<i>B</i>	<i>t</i>	Sig.
President	.056	.976	.330
Provost	-.094	-1.512	.132
Financial/Administrative Vice-President	-.050	-.835	.404
Student Services Vice-President	-.060	-.970	.333
Associate/Assistant Vice-President	-.023	-.366	.715
Dean	.106	1.600	.111
Associate/Assistant Dean	.038	.602	.548
Chair	-.045	-.680	.497
Other Higher Education Positions	.004	.064	.949
Other Non-Higher Education Positions	-.079	-1.367	.173

predictor for presidents identified with a political dominant frame ($R^2 = .145$, $F = .560$, $p = .846$).

In Table 19, the career experience variables collectively were not found to be a significant predictor for presidents identified with a structural dominant frame ($R^2 = .493$,

Table 17

Linear Regression for Independent Variable of Years of Experience for Presidents with Collegial Dominant Frames

Experience	<i>B</i>	<i>t</i>	Sig.
President	-.014	-.245	.807
Provost	-.025	-.403	.687
Financial/Administrative Vice-President	-.108	-1.796	.073
Student Services Vice-President	.038	.619	.537
Associate/Assistant Vice-President	.100	1.630	.104
Dean	.076	1.140	.255
Associate/Assistant Dean	-.019	-.308	.759
Chair	-.119	-1.785	.075
Other Higher Education Positions	-.035	-.597	.551
Other Non-Higher Education Positions	-.034	-.587	.558

$F = 1.498, p = .139$). However, two individual variables were found to be significant.

The individual variable of career experience as a former President ($p = .047$) was found to be a significant positive predictor for those presidents identified with a structural dominant frame. Presidents with previous experience as a President were more likely to

Table 18

Linear Regression for Independent Variable of Years of Experience for Presidents with Political Dominant Frames

Experience	<i>B</i>	<i>t</i>	Sig.
President	.030	.516	.606
Provost	-.070	-1.117	.265
Financial/Administrative Vice-President	.018	.290	.772
Student Services Vice-President	-.043	-.694	.488
Associate/Assistant Vice-President	.004	.064	.949
Dean	.102	1.525	.128
Associate/Assistant Dean	.066	1.052	.293
Chair	-.030	-.452	.652
Other Higher Education Positions	.007	.126	.900
Other Non-Higher Education Positions	-.036	-.623	.534

operate from a structural frame than those Presidents without such experience. The individual variable of career experience as Provost ($p = .019$) was also found to be a significant positive predictor for those presidents who were identified as using a structural dominant frame. Presidents with experience as a Provost were more likely to

Table 19

Linear Regression for Independent Variable of Years of Experience for Presidents with Structural Dominant Frames

Experience	<i>B</i>	<i>t</i>	Sig.
President	.114	1.995	.047*
Provost	-.146	-2.368	.019*
Financial/Administrative Vice-President	-.060	-1.015	.311
Student Services Vice-President	.013	.206	.837
Associate/Assistant Vice-President	-.013	-.218	.828
Dean	.078	1.181	.239
Associate/Assistant Dean	.043	.693	.489
Chair	-.091	-1.375	.170
Other Higher Education Positions	-.023	-.402	.688
Other Non-Higher Education Positions	.053	.919	.359

be identified as using a structural frame than those Presidents without such experience as a Provost.

Finally, the sixth research question sought to determine if there were any relationships between the variable of years of experience in previous positions inside and outside of academe for presidents and the participants' current positions as presidents of

universities and colleges. The data for answering the sixth research question came from Sections Two and Three of the survey. A frequencies analysis indicated the relationship of career experience variables to the institutional type at which presidents currently work. Analyses are presented in Tables 20 through 22.

In Table 20, a frequency analysis indicated the relationship of career experience variables to the institutional type at which presidents currently work. For presidents of Doctoral/Research institutions, the most common career experiences were being a former President (30, $n = 50$) and Chair (27, $n = 50$). The most infrequently reported career experience was that of being a Student Services Vice-President (2, $n = 50$). For presidents of Master's institutions, the most common career experiences were those of being a Dean (41, $n = 84$) and Other Higher Education positions (40, $n = 84$). The most infrequently reported career experiences were those of being a Financial/ Administrative Vice-President (9, $n = 84$), Student Services Vice-President (9, $n = 84$), and that of Associate/Assistant Vice-President (9, $n = 84$). For presidents of Baccalaureate institutions, the most common career experience was that of being a former President (44, $n = 81$) and Other Higher Education positions (46, $n = 81$). The most infrequently reported career experience was that of Associate/Assistant Vice-President (6, $n = 81$). For presidents of Associate institutions, the most common career experiences were those of being a former President (30, $n = 46$) and Provost (26, $n = 46$). The most infrequently reported career experiences were those of being a Financial/ Administrative Vice-President (5, $n = 46$) and Other Non-Higher Education positions (5, $n = 46$). Finally, for presidents of Other institutions, the most common career experiences were those of being

Table 20

Observed Frequencies and Percentages of College Presidents' Current Institution by
Previous Career Experience

Career Experience	President's Current Institution					Total
	Doctoral/ Research	Masters	Baccalaureate	Associate	Other	
President	30 (20%)	36 (24%)	44 (30%)	30(20%)	8 (5%)	148
Provost	26 (20%)	37 (28%)	38 (29%)	26 (20%)	4 (3%)	131
Financial/Administrative Vice-President	5 (16%)	9 (28%)	10 (31%)	5 (16%)	3 (9%)	32
Student Services Vice-President	2 (5%)	9 (24%)	14 (37%)	7 (18%)	6(16%)	38
Associate/Assistant Vice-President	5 (17%)	9 (30%)	6 (20%)	6 (20%)	4 (13%)	30
Dean	26 (20%)	41 (32%)	30 (23%)	22 (17%)	9 (7%)	128
Associate/Assistant Dean	11 (20%)	16 (29%)	17 (30%)	8 (14%)	4 (7%)	56
Chair	27 (27%)	35 (35%)	21 (21%)	12 (12%)	6 (6%)	101
Other Higher Education Positions	23 (17%)	40 (29%)	46 (34%)	21 (15%)	7 (5%)	137
Other Non-Higher Education Positions	9 (17%)	21 (39%)	16 (30%)	5 (9%)	3 (6%)	54

* all percentages have been rounded to the closest whole number.

a Dean (9, $n = 17$) and former President (8, $n = 17$). The most infrequently reported career experiences were those of being a Financial/ Administrative Vice-President (3, $n = 17$) and Other Non-Higher Education positions (3, $n = 17$).

When a cross comparison was conducted of the different types of career experiences presidents from each of the different types of institutions have had, some noticeable variation did exist. The most obvious variations in career experiences of Presidents were those with career experiences as Student Services Vice-President and those with career experiences as Chair. Few Presidents of Doctoral/ Research institutions ($n = 2$, 5%) had experience as a Students Services Vice-President when compared with Presidents of Master's institutions ($n = 9$, 24%) and with Presidents of Baccalaureate institutions ($n = 14$, 37%). Conversely, many Presidents of both Doctoral/ Research institutions ($n = 27$, 27%) and of Master's institutions ($n = 35$, 35%) had experience as Chair while few Presidents of Associate institutions ($n = 12$, 12%) and Other institutions ($n = 6$, 6%) had previous experience as a Chair. The Pearson chi-square test was run to determine if there were significant differences for a president's current institution by career experience as a Student Services Vice-President (see Table 21). The Pearson chi-square test for a president's current institution by career experience as a Student Services Vice-President = 12.31, with a $df = 4$, resulted in a p -value of .015. At $p < .05$, .015 was statistically significant. There were differences in a president's current institution by career experience as a Student Services VP. The Pearson chi-square test was run to determine if there were significant differences for a president's current institution by career experience as a Chair (see Table 22). The Pearson chi-square test for a president's

Table 21

Chi-Square Analysis, President's Current Institution by Career Experience as Student Services Vice-President

	Value	<i>df</i>	Asymptotic Sig. (2-sided)
Pearson Chi-Square	12.310a	4	.015*
<i>N</i> of Valid Cases	278		

Table 22

Chi-Square Analysis, President's Current Institution by Career Experience as Chair

	Value	<i>df</i>	Asymptotic Sig. (2-sided)
Pearson Chi-Square	13.668	4	.008*
<i>N</i> of Valid Cases	278		

current institution by career experience as a Chair = 13.668, with a $df = 4$, resulted in a p -value of .008. At $p < .05$, .008 was statistically significant. There were differences in a president's current institution by career experience as a Chair.

Additional Comments

At the end of the survey, participants were invited to make additional comments and/or identify issues not listed on the survey. There were 26 presidents who chose to make additional comments in addition to completing the survey. The comments of the

26 presidents regarding the content of the questions and survey are reported here:

#14 Strategic planning is essential to any business – education included. Questions regarding students should be separate from faculty/staff. Students are the driving force/purpose of the institution. If additional surveys are developed, your questions should more closely follow university accreditation criteria. North Central Association would probably share their basic required criteria.

#21 Good leaders are good teachers with faculty and staff.

#30 As the District President of a five-campus comprehensive community college, there are constantly broad-spectrum expectations that all of the issues and challenges raised in this survey are met. It is difficult assigning a clear priority of one area over another.

#67 The biggest problem of most colleges is a bloated faculty composed of people who don't want to work.

#68 We are a 6,500-student enrollment DETC accredited online university. Private ownership, founded 1995.

#74 No provision to identify founding president of new institution. No provision to identify clearly the same position at more than one university. I have now served as a university president for a total of twenty-nine years in three different institutions.

#83 Some of your choices are not “forced choices” – for example in Question #10 – a. without b. & c. has no meaning in the long term! I've been president here for 15 years – some things look very different to a senior executive.

#91 Re: Question 10 – Not all decisions should be made in a participatory way. For some decisions, it's appropriate, for others, not.

#104 – Revising the strategic plan was done last year as a university-wide effort.

#106 – We've already exceeded capacity without additional state funding to cover the additional students.

#113 I am into the distribution of power and not into personal gain as was the previous president.

#119 Organizations need different kinds of leadership at various times in their history. Different parts of the institution also need different levels of freedom and control.

#137 Question #8 doesn't represent current problems; we've dealt with b. and d. in the past, and may deal with a. next year! Question #9 answer d. is a bit misleading – we frequently meet needs without implementing a new structure! Any structure will work if people buy in!

#140 This school is a for-profit institution. Question #8 answered as if state were a corporate office.

#165 This is the third campus where I have initiated a comprehensive strategic planning process. Transformation of the campus is what I enjoy about the presidency. I view the president's office as a space from which to create and serve people.

#170 I have been president of four colleges/universities. I answered IV from the point of view of my present assignment.

#184 Many presidents now come from a Developmental trail. That wasn't even a choice on your questionnaire. Choice #3 should be neutral (neither agree nor disagree), which is different from "no opinion."

#200 I am the founder of the college. The college is 25 years old. It is funded by the federal government at a very minimal amount.

#216 We use a participatory governance model on our campus and include everyone in a decision who is affected by that decision. Our process has worked perfectly. In my four years as President, we have:

- A. increased enrollment by 24%
- B. increased the endowment from \$28 M to \$68 M
- C. balanced our budget each year
- D. increased our faculty from 28 full-time members to 43 full-time.

Morale has improved immensely.

#217 Generally, the survey instrument is O.K. Question #8 is seriously flawed in that it assumes ALL institutions are state controlled. It is also totally out of character w/remainder of instrument. I did/prepared such instruments a long time ago!

#223 Founding President

#227 You should have questions about the board, about who (if anyone) mentors a new president, about alumni.

#232 We are a private 4-year degree granting institution listed as a specialty school by Carnegie. I am in my 18th year as president.

#259 Question #8 was not well worded. What I looked for but did not find were questions that spoke to issues of philosophy of administration.

#262 These questions did not get at the external threats – alumni, town, economy, enrollment decreases, etc.

#265 Question #8 is clearly geared toward a state subsidized and controlled institution. As a private college, these questions are not relevant.

#279 In order to lead, good judgment in dealing with difficult issues is absolutely required.

#291 Leader should be servant of others.

The most common theme that emerged from the comments was the unhappiness with one of the questions. Many (7) of the comments were directed at Question #8 in Section Four of the survey. The question (see Appendix D) asked participants what they saw as critical incidents on their campus in the past year. The question provided four potential scenarios; participants were asked to rate each of the four from very unlikely to very likely. Two of the four scenarios described issues at public institutions that were intended to be applicable to any institution. Participants were either confused by question #8 or felt it was not in character with the rest of the questions. The scenarios were provided to determine the participants' way of viewing campus incidents from each of the four frames.

The only other themes that emerge from the comments were regarding strategic planning and founding presidents of institutions. Some (3) participants stressed strategic planning as key to how they lead their institutions. Some (3) participants identified

themselves as founding presidents of their institutions and felt the survey should provide space for acknowledging their unique identity. There were other comments from participants that ranged from complaining about faculty to acknowledging servant leadership to criticizing the previous president. None of the remaining comments could be categorized into common themes.

Summary

Participants from Master's and Baccalaureate institutions responded to the survey in larger numbers than did participants from other types of institutions. The demographics for participants in this study closely mirrored the demographics for presidents of universities and colleges across the U.S. The majority of presidents were between the ages of 50 to 70, male, and Caucasian. The number of women who led Associate institutions compared to other types of institutions was slightly higher, again following the national trend. The number of Minority presidents was higher at Master's and Baccalaureate institutions compared to other types of institutions; this is somewhat different from the national trend.

Presidents were identified as most commonly operating from a symbolic frame when they made decisions and viewed their institutions. The political frame was identified as the second choice for presidents when they made decisions and viewed their institutions. When compared against the mean for the group, 63% of all presidents were identified as operating from at least two or more frames when they made decisions and viewed their institutions. A total of 40% of all presidents were identified as using at least

three frames, and 21% all four frames, when they made decisions and viewed their institutions.

There was no significant relationship relating the variables of age, sex, and race to the dominant frame from which presidents operated when making decisions and viewing their institutions. Presidents of all ages were identified as most commonly operating from a symbolic frame when they made decisions and viewed their institutions. The collegial frame was identified as the third or fourth choice of all presidents except those ages 41 to 50. Both male and female presidents were identified as most commonly operating from a symbolic frame when they made decisions and viewed their institutions. The political frame was identified as the second choice for both male and female presidents when they made decisions and viewed their institutions. Both Minority and Caucasian presidents were identified as most commonly operating from a symbolic frame when they made decisions and viewed their institutions. Other presidents were identified as operating primarily from a political frame when they made decisions and viewed their institutions. The political frame was identified as the second most common choice for both Minority and Caucasian presidents when they made decisions and viewed their institutions; however, it was a more popular choice for Minority presidents. The symbolic frame was identified as the second most common choice for Other presidents.

When examining the relationship of career experience variables to a president's dominant frame, there were no significant relationships for presidents identified with symbolic, collegial, or political frames as their dominant operational frames. However, for presidents identified with structural frames as their dominant operational frames, two

individual career experience variables, experience being a President and experience being a Provost, were variables found to have a significant relationship to a president identified as operating from a structural frame.

When examining the relationship of career experience variables to a president's current position, the most common experiences for presidents of Doctoral/Research institutions were those of a former President or as a Chair. For presidents of Masters' institutions, the most common career experiences were those of Dean and of Other Higher Education positions. For presidents of Baccalaureate institutions, the most common career experience was that of Other Higher Education positions and of former President. For presidents of Associate institutions, the most common career experiences were those of former President and Provost. For presidents of Other institutions, the most common career experiences were those of Dean and former President. A cross-comparison of the different types of career experiences of presidents revealed two significant relationships. There were differences in a president's current institution by career experience as a Student Services VP, and there were differences in a president's current institution by career experience as a Chair.

Written comments expressed concern with question #8 because it is identifying the problem at a public institution; presidents of private and for-profit institutions felt the question was not applicable. Some presidents suggested the survey should have included questions about strategic planning and provided space to identify founding presidents of institutions.

CHAPTER V

SUMMARY, CONCLUSIONS, RECOMMENDATIONS, AND COMMENTARY

This chapter contains four sections that provide an overview of the study. The first section is a summary of the study's purpose, the research problem and questions, limitations, theoretical base, instrument, population, data collection and analysis, and principal findings. The conclusions and the recommendations supported by the findings follow the summary. The last section of the chapter contains this researcher's commentary.

Summary

Leadership in higher education, particularly the presidency, has been studied as being a major factor in the success of universities and colleges. Although there is much written about presidential leadership, it does not seem to help researchers and higher education professionals understand what makes one president successful and another a failure. Some research has suggested that presidents can make marginal changes, for better or worse, at their institutions (Birnbaum, 1992). Because of the changing dynamics of society and higher education and the numerous stakeholders in higher education who demand accountability and excellence, it has become increasingly difficult for college and university presidents to be successful in leading their institutions to the satisfaction of those stakeholders.

Presidents who can adapt their leadership style to their institutions through understanding its culture and environment are likely to experience success as leaders. By multi-framing, or viewing their institutions through multiple lenses, presidents are more likely to understand the complexity of their institution and make better decisions as leaders. Previous career experiences may influence how presidents frame their decision-making in their current position, and a president's demographic and current institutional type may further help in matching presidents to institutions where they might be most likely to experience success.

The purpose of this study was to determine if there were relationships between presidents' demographic background variables, their career paths and previous leadership positions, and their current leadership operational framework(s) from which they make decisions and lead their institutions. The following questions guided the study:

1. What are college and university presidents' self-perceptions of the most common framework(s) from which they operate and make decisions?
2. Are presidents more likely to operate from two or more frames?
3. What, if any, relationship is there between sex and/or race and/or age and the frame from which a president most commonly operates and makes decisions?
4. Which types (i.e. sex, age, race) of presidents operate from which of the four frames when making decisions?
5. What is the relationship between past career experience and the frame(s) presidents of universities and colleges use to make decisions in their current positions?

6. What, if any, is the relationship between past employment in leadership positions and participants' current positions as presidents of universities or colleges?

The study was limited to the participants' self-assessment to identify the frame(s) used to view their institutions and make decisions as leaders and did not include the perceptions of stakeholders at the participants' institutions. The instrument used for this study was adapted from a questionnaire instrument developed by Bensimon, Birnbaum, and Neumann (in Birnbaum, 1992).

The survey instrument was mailed to presidents of higher education institutions across the U.S. and included both questions designed to gather demographic information and questions designed to determine participants' operational frames. The instrument presented participants with 10 questions to determine their dominant frame(s) and their use of each of the four frames in viewing and making decisions about their institutions. A total of 311 of 1000 surveys were returned for a response rate of 31%. Of those that responded, the majority were white (81%), male (80%), and ages 50 to 70 (86%). The largest number of presidents, 137 (45%), were identified as operating from the symbolic frame and a majority, 192 (62%), were identified as operating from at least two or more frames.

Data gathered from the survey were analyzed using appropriate statistical methods and software. Results were analyzed for relationships connecting presidents' operational frame(s) to career experience, demographic information, and their current institution. Qualitative data was obtained by providing space on the survey for comments and was reviewed for common themes.

Conclusions

1. The dominant frame for college and university presidents indicates how presidents think when making decisions. More presidents were identified as using the symbolic frame (45%) as their dominant frame over the other three frames. The individual who operates from a symbolic frame sees the ambiguity and complexity in an organization, attempts to learn the culture and rituals that mark events, and seeks to comprehend overwhelming amounts of information in order to simplify it (Bolman & Deal, 1997). Another 30% of presidents were identified as using the political frame as their dominant frame. The symbolic and political frames were also popular second choices for presidents. According to Bolman & Deal (1992), the dominant use of symbolic and political frames is a leadership approach that may enhance effectiveness as a leader. The majority of presidents are framing issues from a symbolic or political frame.

The running of an organization such as a college or university has become very complex; stakeholders are looking for leadership in times of dramatic change and scarce resources. This study would suggest some presidents are, or they believe they are, leading by using symbolic and political frames to make good decisions. Fewer presidents have collegial (19%) or structural frames (21%) as their dominant frame when making decisions. This would suggest that either many presidents do not believe these are effective ways to make decisions, or not as many individuals with dominant collegial and structural frames are being hired as president.

2. Presidents identified as operating from multiple frames have been identified by their peers and stakeholders on campuses as being better and more effective leaders than

those who operate from a single frame, particularly the structural frame (Birnbaum, 1992). A total of 192 (62%) of 308 presidents were identified as operating from more than one frame when compared against the mean of the group. Of those, 126 (41%) were identified as operating from three or four frames when compared to their peers. This would suggest a significant number of presidents understand and attempt to view their institutions and make decisions from multiple frames. A small percentage of presidents were identified as operating from no significant frame (15%) or operating from one frame (22%) when compared to their peers. According to Bolman and Deal (1997), single frame leaders tend to be less experienced and used primarily structural and collegial frames as their dominant frame. The number of presidents who were identified with three or four frames (41%) suggests some presidents understand and view their complex institutions through multiple lenses. The number of single frame presidents (22%) suggests many presidents still view their institutions through a narrow lens when making decisions. These single frame presidents assess and make decisions primarily from one perspective. However, these numbers may be inflated at both ends due to some presidents identifying multiple frames higher than stakeholders and others might, while some presidents, those who were identified as having no dominant frame, may have scored all questions consistently low, thereby making their total score fall below the mean and not giving a true indication of their frame(s) preference.

3. The evidence for determining if presidents of a different age, sex, or race have different leadership frames when making decisions is unclear at best. There is some data to suggest women do lead differently than men, but researchers disagree over why this

occurs (Eggins, 1997). In the current study, there were no significant differences in the presidents' dominant frames that could be accounted for by their age, sex, or race. This suggests that college and university presidents whose dominant frame for viewing their institutions and decision-making differently than their peers is because of factors other than the three demographic variables of age, sex, and race. It is possible that the belief (Leland & Astin, 1999) that women are more likely to view their institutions from a collegial (human resource) frame than their male counterparts is questionable, given the findings of this study. However, some female presidents may have viewed the frames as a male gendered leadership construct and refused to indicate preferences in the study.

4. An examination of how presidents were identified in their use of the four frames according to age, sex, and race did not yield statistically significant differences.

Presidents of all ages were identified with symbolic and political frames as their first and second most common dominant frame. However, younger presidents ages 31 to 50 were identified with the structural frame as their first or second choice as frequently as the political frame. This could indicate a belief or need for some younger presidents to follow proper formal structures due to a lack of experience and/or confidence. They may not initially have the confidence to make decisions outside of the organization's formal procedures. However, there was no statistically significant difference in frames by age.

Both male and female presidents were also identified as ranking the symbolic and political frames as their first and second most common dominant frame. Interestingly, they both were identified as ranking the collegial frame last in their use of the four frames. Much of the literature about women in leadership roles suggests they are more caring and

nurturing towards subordinates and stakeholders within an organization (Touchton et al., 1991). Some research, however, has pointed out that female leaders purposefully take on some behaviors of male leaders in order to avoid being seen as weak and indecisive (Bensimon, 1989b; Magnuson, 2001). There was no statistically significant difference in how male and female presidents ranked their four frames.

Minority, Caucasian, and Other presidents were identified as ranking the symbolic and political frames as their first and second most common dominant frame. The political frame was identified as ranked first by a significant percentage of Minority (27%) and Caucasian (28%) presidents, yet it was the second choice of fewer Minority (19%) presidents and more Caucasian (34%) presidents. Other presidents were identified as ranking the political frame (44%) ahead of the symbolic frame as their first choice of frames, yet their first and second most commonly identified choice was the symbolic frame (73%).

5. Determining how previous career experience can influence the frames of presidents has been inconclusive in past studies. In this study career experiences of presidents were analyzed to determine if there were significant relationships to their dominant frame. Career experience was not found to be a predictor of presidents identified with symbolic, collegial or political dominant frames. Career experiences as a former President or Provost were found to be significantly related to presidents identified with a structural dominant frame. Presidents with career experience as a former President or Provost were identified as more likely to operate from a structural frame than those without such experience. Those presidents identified as operating from a structural frame that have

moved into a new presidency or from Provost to a presidency appear to have reinforced their use of their dominant structural frame. Any experience, particularly as a former President or Provost, would appear to prove valuable in making decisions that demand an immediate response and in filtering out unneeded information. However, if former presidents and former Provosts in new presidencies did not believe they had anything to learn from their past experience, they might continue to frame issues from the same dominant (structural) frame. Presidents identified as operating from a dominant structural frame have been found to be less effective in previous studies (Birnbaum, 1992).

6. Previous research (Fisher et al., 1988) and the prevailing wisdom have suggested that leaders in higher education can only move laterally or down in regard to institutional size and prestige when they move up in position. Research also suggests (Bensimon et al., 1989) that the traditional path to the presidency of a four-year Doctoral/Research institution from professor to Chair to Dean to Provost to President is still the most common route to the presidency. Career experience of presidents as it relates to the institution they currently lead revealed that few presidents of Doctoral/Research institutions had experience as a Student Services Vice-President when compared to their peers at other institutional types. There were statistically significant differences in a president's current institution by career experience as a Student Services Vice-President. This is in keeping with the tradition, held by many Doctoral/Research institutions, that the president must have a significant academic background in order to gain the respect of the faculty (Bowen & Shapiro, 1998). It appears experience as a Student Services Vice-President is not generally a successful route to the presidency of a Doctoral/Research institution.

Conversely, many presidents of Doctoral/Research and Master's institutions have experience as Chairs while few presidents of Associate or Other institutions have such experience. This may be due, in part, because Chair positions do not exist at Associate and Other institutions or they are known by other names. Presidents of community colleges and other specialized types of institutions often have non-traditional academic backgrounds. There were statistically significant differences in a president's current institution by career experience as a Chair. It appears experience as a Chair is a positive path to the presidency of a Doctoral/Research or Master's institution (presumably at a similar type of institution) while it is not a necessity for the presidency of Associate and Other institutions.

Recommendations

1. A further study should be conducted to determine if presidents who operate from dominant symbolic frames could be shown to be more effective than presidents who operate from the other three frames. Previous research done, as part of the ILP Project, with a small number of presidents ($n = 32$) has shown this to be true. The study needs to be done with a much larger sample in order to make generalizations to the college and university president population. If the results are consistent with this study and the ILP Project, then training and education could be geared towards providing future leaders in higher education with the skills to view their institutions more frequently, although not exclusively, from a symbolic frame as well as choosing different frames for different situations. Identifying leaders who operate from a dominant symbolic frame may also be helpful in identifying potentially successful future presidents. Symbolic and

transformational leadership has dominated the literature for the past twenty-five years as being the most likely leadership style to succeed.

2. A study should be conducted to determine if presidents who operate from multiple frames, when compared to their peers, have common demographic backgrounds and/or career experiences. The results could be useful in identifying who is using multiple frames and in pointing individuals who aspire to be presidents toward career experiences that help develop multiple frames that may benefit them as leaders and benefit the institutions they lead. Any data or information that can improve the training and selection process of future presidents would be welcomed by schools of educational administration, leadership training institutes, presidential search committees, and Boards who hire presidents.

3. This study is useful in pointing out that presidents, by framing things differently, may lead differently in various situations but they do not differ in their choice of dominant frame because of their age, sex, or race. Some previous research has indicated that women lead differently. A qualitative study could be conducted examining presidents who use multi-frames and a dominant symbolic frame to determine if these presidents are successful and/or differ because of their age, sex, or race and the source of why they differ.

4. It appears that age, sex, and race may not differentiate the frames presidents use to make decisions. A further study could be conducted to understand why Minority and Caucasian presidents differ in their choice of dominant frames from Other presidents.

5. A study could be conducted to determine if those presidents who operate from a structural frame and have previous experience as a President or Provost are effective

leaders. Previous studies have identified single frame (structural frame) presidents as being less successful than multi-frame presidents, particularly those with a symbolic dominant frame. More evidence as to why presidents seem to operate from a structural frame after such career experiences could help future presidents avoid continuing or narrowing their decision-making to the structural frame in their new positions.

6. A study could be conducted to identify the career experiences that are positively related to becoming president at a Doctoral/Research institution, developing of multiple frames and operating primarily from a symbolic frame. Identifying those experiences would aid researchers in understanding how previous experience for those presidents with the greatest potential for success has influenced their choice of frames and their possible success. The same study could be conducted to determine the career experiences that are positively related to presidents of Associate institutions who use multi-frames and operate primarily from a symbolic frame.

Commentary

This study used an instrument adapted by this researcher into a Likert-scale instrument to enable a study of a large population sample. The survey illustrated the frames presidents use to view their institutions and make decisions and how some variables, primarily career experience, impact the choice and ranking of frames. A review of leadership theory, studies of college presidents, and Bolman and Deal's multi-frame theory was conducted. This commentary examines the relationship of the literature review to the findings from this study.

Literature about leadership in education in the past twenty-five years has emphasized transformational and charismatic leadership (Bolman & Deal, 1997; Burns, 1978; House, 1977). Transformational and charismatic leadership theory and literature in the past twenty-five years has been popular. These theories propose that leaders cause followers to commit to a vision and to work beyond expectations to achieve that vision. Transformational leaders emphasize the ability to change the way followers view problems and perceive their role in the organization. There is a belief that these leaders can make positive changes at their institutions. Birnbaum and his associates (Birnbaum, 1992) would be against adopting entirely a charismatic or transformational approach. They would argue that presidents can, at best, make marginal improvements if they follow certain recommendations. It would seem that marginal positive change can occur if a president follows the recommendations of the ILP Project's findings (Birnbaum, 1992) which have something in common with charismatic and transformational leadership. The symbolic frame has similar elements in that:

1. It emphasizes seeing events for their meaning
2. It realizes that individuals interpret events differently, and
3. It realizes the ambiguity inherent in an organization such as a college or university.

The symbolic frame was the most common dominant frame and the one used most frequently by successful presidents in the ILP Project (Birnbaum, 1992).

One of the keys to the findings of the ILP Project is that the most successful presidents operated from a multi-frame perspective. Being able to view issues and make

decisions from multiple frames would improve one's chances at being a successful leader. While 63% of presidents in this researcher's study identified themselves as operating from multi-frames and over 40% as operating from three or four frames, a significant number of presidents identified operating from one or no significant frame when compared to their peers. This is troubling when considering leaders of such complex institutions as universities and colleges. It is even more troubling when considering that most leaders overestimate their ability to multi-frame (Birnbaum, 1992). It is quite possible the number of presidents who operate from a single frame is even higher. This line of research needs to be extended by conducting large-scale surveys to assess the perspective of stakeholders at higher education institutions on the frame their president uses when making decisions. This new kind of information could be used to confirm or refute this study and previous studies, and it could benefit institutions and leadership programs by identifying and then helping current and future presidents to broaden their frame perspective.

Much has been written and said about whether age, race, and particularly sex are factors in the leadership frames of presidents. Many studies have identified demographic data about presidents; those demographics have changed, especially in the past twenty-five years, to include more female and minority presidents. Yet, women and minorities still do not hold presidencies comparable to their numbers as faculty members in higher education, where the majority of upper level administrators originate. According to the most recent ACE study of college presidents, only 19% of college presidents are women and only 11% are minorities. Yet, 21% of full professors and 35% of associate professors are women; they also constitute 32% of all faculty at Doctoral/Research institutions. "Women

presidents (19%) remain underrepresented in comparison to their share of all faculty and senior staff positions (40 percent) at U.S. colleges and universities" (Ross & Green, 2000). This is despite the fact that in this study both women and minorities did not differ in their leadership frame preferences from male Caucasians who made up over 80% of all presidents surveyed. For minorities, the numbers are also discouraging. While 14% of all faculty and senior staff are minorities, only 10% of college presidents are minorities (Ross & Green, 2000). It may be that a glass ceiling for women and minorities still exists and is perpetuated by Board trustees and older faculty on search committees (Magnuson, 2001). These groups hire individuals similar to themselves despite this study, and the ILP Project data, which suggests female and minority presidents may not differ in their dominant leadership frame because of their sex or race.

Presidents do not differ in their choice of a dominant frame by age, sex, and race. Presidents do not significantly differ in their order of choice of their four frames by age, sex, or race. This is contrary to some research that suggests one's sex does influence how a college presidents leads (Eggins, 1997; Leland & Astin, 1999).

Previous career experience has not been shown to be a factor in the leadership frames of presidents. Yet, those presidents with career experience as a former President or Provost were more likely to operate from a structural frame than those presidents with other career experiences. Such experience would suggest these presidents are likely older than their peers; it could be that these presidents have not entirely embraced the transformational or charismatic leadership frames emphasized in recent literature. They still cling to following formal procedures and structures inherent in large organizations believing issues

will be solved through the structural workings of the institution. This may be due to the socialization of "the way it is around here." Their experience would tell them they have been successful in obtaining high-level administrative positions; their assumption may be it is because they have been successful as leaders. It is also likely that many of these presidents are near the end of their careers and not likely to move on to future presidencies if they already have significant senior-level experience as Provosts and presidents. Such presidents would be unlikely to commit to changing their style of leadership or the way they frame issues.

One aspect of the study of higher education has been the career ladder for administrators; it has been believed for some time that leaders in higher education can only move laterally or down in regard to institutional size and prestige when they move up in position. It has also been shown that a traditional path to the presidency, particularly for Doctoral/Research institutions, has been from professor to chair to Dean to Provost to President. Experience as a Student Services Vice-President is not the typical path to the presidency at Doctoral/Research and Master's institutions. Is experience the strongest predictor for becoming a president? If other variables could be controlled, could an individual follow a career path likely leading to a presidency? And which career experiences are dead ends to a presidency other than that of a Student Services Vice-President?

For presidents at Associate and Other institutions, experience as a Chair would be a poor predictor for becoming a president. The Chair position is often a faculty leader, but not necessarily an administrator. Which career experiences are the strongest predictors for

becoming president at these institutions and which ones are dead ends? Rather than speculation, much more research needs to be done specifying what kinds of career experiences can lead to a presidency at Associate and Other institutions.

All of these questions are relevant to the training provided in educational leadership programs. Defining and describing who become leaders at what types of institutions would be useful information for graduates of such programs. Research indicates that those graduates of educational leadership who do become college presidents do so primarily at Associate institutions, although more are being offered presidencies at research institutions compared to ten years ago (Ross & Green, 2000).

A few themes were identified in the comments of presidents in the survey. In addition to their comments regarding question #8, some presidents felt strategic planning and "founding presidents" were important issues not addressed in the survey. While strategic planning is important, it was not the purpose of the survey to identify critical issues on campus but to present issues that would have presidents make choices indicating their frame preferences. However, a space allocated for presidents to indicate that they are the founding presidents of their institutions may have been appropriate. Such presidents are a very small percentage of college and university presidents and are generally found at relatively new Associate or Other institutions.

The study of college and university presidential leadership and how to determine variables indicating the likelihood of a president's success would appear to be useful for many stakeholders in higher education. Such research is extensive in the corporate world and, to a lesser degree, in K-12 education. It would appear identifying indicators that

increase the chance of success for a college president would be welcomed by the higher education community.

APPENDICES

APPENDIX A
APPROVAL TO USE INTERVIEW PROTOCOL

Mark Magnuson

From: Estela Bensimon [bensimon@usc.edu]

Sent: Monday, October 08, 2001 5:45 PM

To: Mark Magnuson

Subject: RE: permission to use instrument

Dear Mark,

Yes it is fine to use the interview protocol and I thank you for asking about it. Good luck with your dissertation.

Estela Mara Bensimon

-----Original Message-----

From: Mark Magnuson [mailto:mark_magnuson@und.nodak.edu]

Sent: Monday, October 08, 2001 11:56 AM

To: estela bensimon

Subject: permission to use instrument

Professor Bensimon,

I am currently a doctoral student studying higher educational leadership, policy, and history at the University of North Dakota in Grand Forks. My dissertation is based on exploring the leadership and decision-making styles of university and college presidents with a particular emphasis on how a president's career path may have influenced her/his decision-making style as president. I am currently starting the process of writing my introductory Chapter and my Chapter Three (methodology & research instrument) in order to submit my proposal. It was suggested to me that if I was going to use the four frame analysis model developed by Professors Bolman & Deal as my theoretical framework for my own instrument, it would make sense to contact you about possibly gaining permission to use the instrument that you used in your 1989 article with Dr. Neumann. This would greatly aid and speed up the process and allow me to develop a survey instrument to be sent out that would be superior to anything I could develop. Any acknowledgements or copyright recognition would, of course, be done to your satisfaction. If you were interested in using any of the final survey results, a reciprocal agreement should be easy to work out.

I hope I have not been too bold in my request. My interest and admiration for the "Four Frames model" comes as a result of my committee chair and advisor's (Dean Dan Rice) interest in the model, my reading of *Reframing Organizations: Artistry, Choice, & Leadership*, and my reading of some of your articles. Thank you for your consideration of this request.

Sincerely,

Mark Magnuson
 Doctoral Candidate
 University of North Dakota
 (701) 787-0696
mark_magnuson@und.nodak.edu

My advisor can be reached at:

Daniel Rice
 Dean of Education & Human Development
 University of North Dakota
 Box 7189
 Grand Forks, N.D.
 (701) 777-2674

2/10/02

APPENDIX B
PILOT STUDY COVER LETTER

Mark Magnuson

Ph.D. Candidate

UND

701-777-2674

March 19, 2002

Dear President:

I am a doctoral student pursuing a Ph.D. in Higher Education Administration in the Department of Educational Leadership at the University of North Dakota. I am conducting research on the relationship between presidents' current leadership frames, demographic backgrounds, previous formal leadership positions, and the types of institutions they lead. A random stratified sample of presidents from across the country are being asked to participate in the study.

Attached you will find two versions of a 10 item leadership framework survey. I would appreciate your help with the study by reviewing the questions and by providing your input about the survey's structure (especially the font size and survey length) and content. If you could email comments and suggestions to me at

as soon as possible (no later than March 29th), it would greatly aid in refining the survey when it is sent out for the research study being conducted. It is my intent to complete the study by the middle of the summer and prepare the results for publication soon thereafter.

Your suggestions will be incorporated into the final survey draft. The response documents (pamphlets) will be separated and securely stored immediately upon receipt.

Thank you in advance for your participation and contribution to the pilot for this study. If you have any questions concerning the survey, please do not hesitate to contact my advisor, Dr. Dan Rice, or me. He can be reached at 701-777-2674 or at

Sincerely,

Mark Magnuson

Ph.D Candidate

UND

Dr. Daniel Rice

Dissertation Chair

Associate Professor Educational Leadership

Dean of the College of Education & Human Resource Development

APPENDIX C
SURVEY COVER LETTER

April 2002

BUREAU OF EDUCATIONAL SERVICES
AND APPLIED RESEARCH
UNIVERSITY OF NORTH DAKOTA
P.O. BOX 7189
GRAND FORKS, NORTH DAKOTA 58202-7189
(701) 777-4421
FAX (701) 777-4365

Dear President:

I am a doctoral student pursuing a Ph.D. in Higher Education Administration in the Department of Educational Leadership at the University of North Dakota. I am conducting research on the relationship between presidents' operational leadership frames, their demographic backgrounds, their previous formal leadership positions, and the types of institutions they lead. A random stratified sample of presidents from across the country is being asked to participate in the study.

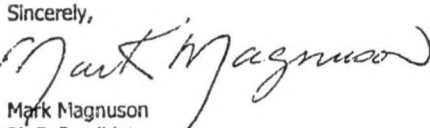
Enclosed you will find a 10-item leadership framework survey, demographic data questions, questions about previous leadership positions you have held and about the type of institution you lead as part of one pamphlet. The pamphlet should take about 15 minutes to complete. I would appreciate your participation in the study by completing the questions within the pamphlet and returning it by May 1st. Your participation is voluntary and you may discontinue at any time without penalty by contacting myself or my advisor. It is my intent to complete the study by the middle of the summer and prepare the results for publication soon thereafter. It is hoped that the study will benefit institutions and educational leadership departments by identifying relationships among the variables that will allow for a greater understanding of the "fit" of president and institution.

In order to preserve confidentiality, the data will be coded, compiled, and reported in aggregate form by the UND Bureau of Educational Services and Applied Research (BESAR) without identifying individual responses. You will note that the pamphlet, which has return postage already paid, has a code number which will be used only to determine the identity of nonrespondents; the pamphlets will be separated and securely stored immediately upon receipt and opening for a period not less than three years so that no responses can be identified with individual participants in the study. Only the Bureau director, his administrative assistant, and myself will have access to the data. All paper data will be shredded and all electronic data will be deleted after a period of not less than three years. It is understood that return of the survey pamphlet implies consent to use your responses as I have indicated above.

Thank you in advance for your participation and contribution to this study.

If you have any questions concerning the survey, please do not hesitate to contact my advisor, Dr. Dan Rice, or me. He can be reached at 701-777-2674 or at daniel_rice@und.nodak.edu. If you have any other questions or concerns, please call the Office of Research and Program Development at (701) 777-4279.

Sincerely,


Mark Magnuson
Ph.D Candidate
University of North Dakota
PO Box 7189
Grand Forks, ND 58202-7189
701-777-3149
mark_magnuson@und.nodak.edu


Dr. Daniel Rice
Dissertation Chair
Associate Professor, Educational Leadership
Dean, College of Education & Human Development
University of North Dakota
PO Box 7189
Grand Forks, ND 58202-7189



BUREAU OF EDUCATIONAL SERVICES AND APPLIED RESEARCH

APPENDIX D
SURVEY

Presidents' Survey

I. Demographic Information

Please check that which applies to you.

1. Age:
- | | | | |
|---------|--------------------------|---------|--------------------------|
| < 30 | <input type="checkbox"/> | 51 - 60 | <input type="checkbox"/> |
| 30 - 40 | <input type="checkbox"/> | 61 - 70 | <input type="checkbox"/> |
| 41 - 50 | <input type="checkbox"/> | > 70 | <input type="checkbox"/> |

2. Gender:
- | | | | |
|--------|--------------------------|------|--------------------------|
| Female | <input type="checkbox"/> | Male | <input type="checkbox"/> |
|--------|--------------------------|------|--------------------------|

3. Race:
- | | |
|------------------------|--------------------------|
| African-American | <input type="checkbox"/> |
| Hispanic | <input type="checkbox"/> |
| Asian/Pacific Islander | <input type="checkbox"/> |
| Caucasian | <input type="checkbox"/> |
| Other | <input type="checkbox"/> |

II. Current Institution

Please check the type of institution where you currently work.

- Carnegie classification:
- | | |
|---|--------------------------|
| Doctoral/Research Extensive/Intensive | <input type="checkbox"/> |
| Master's Colleges & Universities I & II | <input type="checkbox"/> |
| Baccalaureate Colleges - Liberal Arts & General | <input type="checkbox"/> |
| Associated Colleges | <input type="checkbox"/> |
| Other | <input type="checkbox"/> |

III. Previous Career Positions

Please check all that apply to you.

	Carnegie Classification					Years of Experience (if applicable)		
	Doctoral/ Research Extensive/ Intensive	Master's Colleges & Universities I & II	Baccalaureate Colleges - Liberal Arts & General	Associated Colleges	Other	< 5 years	5 - 10 years	> 10 years
1. President								
2. Provost/Academic VP								
3. Admin/Finance VP								
4. Student Services VP								
5. Associate/Assistant VP								
6. Dean								
7. Associate/Assistant Dean								
8. Department Chair								
9. Other Higher Education Positions								
10. Other Non-Higher Education Positions								

IV. You and Your Institution

Please respond to every item following each question:

- 1 = Very Unlikely
2 = Somewhat Unlikely
3 = No Opinion
4 = Somewhat Likely
5 = Very Likely

1. There probably were a number of people who were considered for the presidency. Rate the likelihood of each of the following reasons as factors in your selection.

- | | |
|---|-----------|
| a. Visionary leadership | 1 2 3 4 5 |
| b. Ability to cooperate with the board, faculty, & administrators | 1 2 3 4 5 |
| c. Ability to raise funds & obtain resources | 1 2 3 4 5 |
| d. Ability to quickly learn the organization & its procedures | 1 2 3 4 5 |

2. In what ways would you most likely describe yourself as different from your predecessor?

- | | |
|--|-----------|
| a. Able to provide the institution with a clear mission and vision | 1 2 3 4 5 |
| b. More collegial | 1 2 3 4 5 |
| c. Better understand the political environment | 1 2 3 4 5 |
| d. Increased the efficiency of the institution through restructuring | 1 2 3 4 5 |

3. When you are asked to briefly describe your institution, what is most likely to be really important to you?

- | | |
|--|-----------|
| a. The purpose and values of the institution | 1 2 3 4 5 |
| b. Students, faculty, and staff | 1 2 3 4 5 |
| c. Acquiring resources and influencing others to make good things happen for the institution | 1 2 3 4 5 |
| d. The organization and its success | 1 2 3 4 5 |

4. What are your short-term goals for the institution?

- | | |
|--|-----------|
| a. Initiating a strategic plan | 1 2 3 4 5 |
| b. Repairing damaged relationships within departments or colleges | 1 2 3 4 5 |
| c. Representing the institution to outside partners and forming beneficial relationships | 1 2 3 4 5 |
| d. Reorganization of departments, colleges, etc. | 1 2 3 4 5 |



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GRAND FORKS ND 58202-9988

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IN THE
UNITED STATES

- How likely were the following statements below issues at you dealt with when you took office?
- | | |
|--|-----------|
| The institution lacked direction & purpose | 1 2 3 4 5 |
| It was a cold, impersonal place to work | 1 2 3 4 5 |
| Departments and individuals were competing for limited resources | 1 2 3 4 5 |
| The institution was not efficiently operating | 1 2 3 4 5 |
- How likely are the following statements areas or claims that you pay the most attention to now?
- | | |
|---|-----------|
| Reinforcing/introducing values and beliefs that will guide the institution | 1 2 3 4 5 |
| Meeting the needs of faculty/staff to be successful in their roles within the institution | 1 2 3 4 5 |
| Bargaining, negotiating, and forming coalitions to get things done | 1 2 3 4 5 |
| Leading the organization to achieving enrollment goals | 1 2 3 4 5 |
- If you think about who are some of the most important persons on your campus, why do you believe this about them?
- | | |
|--|-----------|
| They inspire others | 1 2 3 4 5 |
| They form good working relationships with colleagues | 1 2 3 4 5 |
| They are successful in accomplishing tasks and meeting goals | 1 2 3 4 5 |
| They understand the organization and their roles | 1 2 3 4 5 |
- What would you most likely see as important or critical persons on your campus during the past year from the following?
- | | |
|---|-----------|
| Alumni, students, community, and State Board oppose changing the school's culturally insensitive nickname | 1 2 3 4 5 |
| Lawsuit over academic dispute between a faculty member & administrator | 1 2 3 4 5 |
| State Legislature has reduced the institution's budget appropriation by 10% | 1 2 3 4 5 |
| Consolidation of programs and departments (e.g., Education & Human Development merging) | 1 2 3 4 5 |
- How would you describe yourself as a leader?
- | | |
|--|-----------|
| Providing colleagues with a purpose to excel | 1 2 3 4 5 |
| Trying to ensure everyone feels good about what they do, where they work | 1 2 3 4 5 |
| Doing what is necessary to ensure the organization is successful | 1 2 3 4 5 |
| Analyzing needs of the organization and implementing structure to meet those needs | 1 2 3 4 5 |
- Which of the following descriptions is closest to your understanding of leadership?
- | | |
|---|-----------|
| Providing a vision for the institution | 1 2 3 4 5 |
| Participative, inclusive decision making | 1 2 3 4 5 |
| Clearing the path to enable others to be successful | 1 2 3 4 5 |
| Providing rational procedures & clearly delineating responsibilities to guide the institution | 1 2 3 4 5 |
- Please add any comments or suggestions regarding this survey and its contents.

PLEASE FOLD YOUR QUESTIONNAIRE SO THE RETURN ADDRESS SHOWS AND SECURE THE SHEETS WITH TAPE - DO NOT STAPLE.

Thank You!

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